

Please type a plus sign (+) inside this box - ☐

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications  
under 37 CFR 1.53(b))

Attorney Docket No.

2978.1US

First Inventor or Application  
Identifier

Reichert et al.

Title

COMPOSITE WAVEGUIDE FOR SOLID PHASE  
BINDING ASSAYS

Express Mail Label No.

EL206386163US

**APPLICATION ELEMENTS**

See MPEP Chapter 600 concerning utility patent application contents

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)

2. ☒ Specification Total Pages

(preferred arrangement set forth below)  
-Descriptive title of the invention  
-Cross References to related Applications  
-Statement Regarding Fed Sponsored R&D  
-Reference to Microfiche Appendix  
-Background of the Invention  
-Brief Summary of the Invention  
-Brief Description of the Drawings (if filed)  
-Detailed Description  
-Claim(s)  
-Abstract of the Disclosure

3. ☒ Drawing(s) (35 USC 113) Total Sheets

4. Oath or Declaration Total Pages

a. ☐ Newly executed (original or copy)

b. ☐ Copy from a prior application (37  
CFR 1.63(d))

(For continuation/divisional with Box 17 completed)  
(Note Box 5 below)

- i. ☐ **DELETION OF INVENTOR(S)**

Signed statement attached deleting  
inventor(s) named in the prior  
application, see 37 CFR 1.63(d)(2) and  
1.33(b).

5. ☐ Incorporation By Reference (useable if Box 4b is checked)

The entire disclosure of the prior application, from which a  
copy of the oath or declaration is supplied under Box 4b, is  
considered as being part of the disclosure of the accompanying  
application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)

7. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

a. ☐ Computer Readable Copy

b. ☐ Paper Copy (identical to computer copy)

c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

8. ☐ Assignment Papers (cover sheet & document(s))

9. ☐ 37CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)

10. ☐ English Translation Document (if applicable)

11. ☒ Information Disclosure ☐ Copies of IDS  
Statement (IDS/PTO-1449) Citations

12. ☒ Preliminary Amendment

13. ☒ Return Receipt Postcard (MPEP 503)

14. ☐ Small Entity ☒ Statement filed in prior application,  
Statement(s) Status still proper and desired

15. ☐ Certified Copy of Priority Document(s)  
(If foreign priority is claimed)

16. ☒ Other: Statement Per Rule 53(b)(2) To Add Inventor . . . .

\*A new statement is required to be entitled to pay small entity fees, except  
where one has been filed in a prior application and is being relied upon.

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☒ Continuation

☐ Divisional

☐ Continuation-in-part (CIP)

of prior Application No. 08/705,893 (now U.S. Patent  
5,832,165)

Prior application information: Examiner J. Ngo Group/Art Unit: 2874

**18. CORRESPONDENCE ADDRESS**

☐ Customer Number or Bar Code Label

or ☒ Correspondence address below

NAME

Allen C. Turner

TRASK, BRITT & ROSSA

ADDRESS

P.O. Box 2550

CITY

Salt Lake City

STATE

Utah

ZIP CODE

84110

COUNTRY

U.S.A.

TELEPHONE

(801) 532-1922

FAX

(801)531-9168

Name (Print/Type)

Allen C. Turner

Registration No. (Attorney/Agent)

33,041

Signature

Date

11/3/98

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.  
These are the fees effective October 1, 1997.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

TOTAL AMOUNT OF PAYMENT (\$ ) 395.00

## Complete if Known

Application Number	
Filing Date	November 3, 1998
First Named Inventor	W. Monty Reichert
Examiner Name	J. Ngo
Group / Art Unit	2874
Attorney Docket No.	2978.1US

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number: 20-1469  
Deposit Account Name: TRASK, BRITT & ROSSA

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance

2. ☒ Payment Enclosed:  
☒ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 790	201 395	Utility filing fee	395
106 330	206 165	Design filing fee	
107 540	207 270	Plant filing fee	
108 790	208 395	Reissue filing fee	
114 150	214 75	Provisional filing fee	
SUBTOTAL (1)			(\$ ) 395

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
5	-20** = 0	X	-0-
1	-3** = 0	X	-0-
Multiple Dependent			

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 22	203 11	Claims in excess of 20
102 82	202 41	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 82	209 41	** Reissue independent claims over original patent
110 22	210 11	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ )

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet.	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 950	217 475	Extension for reply within third month	
118 1,510	218 755	Extension for reply within fourth month	
128 2,060	228 1,030	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,320	241 660	Petition to revive - unintentional	
142 1,320	242 660	Utility issue fee (or reissue)	
143 450	243 225	Design issue fee	
144 670	244 335	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 790	246 395	Filing a submission after final rejection (37 CFR 1.129(a))	
149 790	249 395	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify)			
Other fee (specify)			

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ )

## SUBMITTED BY

Typed or Printed Name: Allen C. Turner

Signature

Date

11/3/98

## Complete (if applicable)

Reg. Number: 33,041

Deposit Account User ID: 20-1469

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In re Application of:**

Reichert et al.

**Serial No.:** To be assigned

**Filed:** November 3, 1998

**For:** COMPOSITE WAVEGUIDE FOR  
SOLID PHASE BINDING ASSAYS

**Examiner:** J.Ngo

**Group Art Unit:** 2874

**Attorney Docket No.:** 2978.1US

**NOTICE OF EXPRESS MAILING**

Express Mail Mailing Label

Number: EL 206386163US

Date of Deposit with USPS: November 3, 1998

Person making Deposit: Jared Turner

**PRELIMINARY AMENDMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

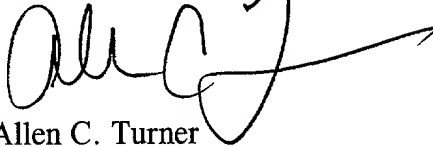
Please cancel claims 1-24, without prejudice.

**REMARKS**

Claims 25-29 remain in the application.

Applicant requests entry of the foregoing amendment prior to examination of the application on the merits.

Respectfully submitted

A handwritten signature in black ink, appearing to read 'Allen C. Turner', with a long horizontal stroke extending to the right.

Allen C. Turner  
Registration No. 33,041  
Attorney for Applicants  
TRASK, BRITT & ROSSA  
P. O. Box 2550  
Salt Lake City, Utah 84110-2550  
Telephone: (801) 532-1922

Date: November 3, 1998

ACT/le

N:\0274.02\2978\2978-1pr.amd.wpd



CERTIFICATION UNDER 37 C.F.R. § 1.10

EM090039988US

Express Mail Mailing Label No.

AUGUST 28, 1996

Date of Deposit

I hereby certify that this application is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to Box PATENT APPLICATION, Assistant Commissioner for Patents, Washington, D.C. 20231.

MATTHEW ALLEN

Typed or printed name  
of person mailing application

  
Signature of person mailing application

APPLICATION FOR LETTERS PATENT

for

COMPOSITE WAVEGUIDE FOR SOLID PHASE BINDING ASSAYS

Inventors:

W. Martin Reichert  
James N. Herron  
Douglas A. Christenson  
Hsu-Kun Wang

Attorneys:

Laurence B. Bond  
Registration No. 30,549  
Allen C. Turner  
Registration No. 33,041  
TRASK, BRITT & ROSSA  
P.O. Box 2550  
Salt Lake City, Utah 84110  
(801) 532-1922

# COMPOSITE WAVEGUIDE FOR SOLID PHASE BINDING ASSAYS

## BACKGROUND OF THE INVENTION

Field of the Invention: The invention relates to apparatus for solid-state  
5 biochemical binding assays, and especially to optical structures utilizing evanescent  
sensing principles for use in such apparatus and assays.

State of the Art: Immunoassays exploiting the properties of an optical  
technique known as total internal reflection (abbreviated TIR) are proving to be a  
valuable tool for detection of analytes at concentrations of  $10^{-10}$  to  $10^{-13}$  molar or  
10 below, without a wash step. When a light beam traveling in a waveguide is totally  
internally reflected at the interface between the waveguide and an adjacent medium  
having a lower refractive index, a portion of the electromagnetic field of the TIR light  
penetrates shallowly into the adjacent medium. This phenomenon is termed an  
"evanescent penetration" or "evanescent light". The intensity of evanescent light  
15 drops off exponentially with distance from the waveguide surface.

Binding assays in general are based on the strong affinity of a selected  
"capture" molecule to specifically bind a desired analyte. The capture  
molecule/analyte pair can be an antibody/antigen pair or its converse, a  
receptor/ligand pair or its converse, etc, as known in the art. In a fluorescent binding  
20 assay, the binding of the analyte to the antibody is monitored by a tracer molecule  
which emits fluorescent light in response to excitation by an input light beam.

One of several possible schemes for exploiting the properties of evanescent  
light fields for fluorescence measurements is as follows. If an antibody is  
immobilized on an optical structure in which a light beam is being propagated by  
25 TIR, the resulting evanescent light can be used to selectively excite tracer molecules  
that are bound (whether directly or indirectly) to the immobilized antibody. Tracer  
molecules free in solution beyond the evanescent penetration depth are not excited,  
and therefore do not emit fluorescence. For silica-based optical materials or optical  
plastics such as polystyrene, with the adjacent medium being an aqueous solution, the  
30 evanescent penetration depth is generally about 1000 to 2000 Å (angstroms). The

amount of fluorescence is thus a measure of the amount of tracer bound to the immobilized capture molecules. The amount of bound tracer in turn depends on the amount of analyte present, in a manner determined by the specifics of the immunoassay procedure.

5 U.S. Patents Nos. RE 33,064 to Carter, 5,081,012 to Flanagan et al, 4,880,752 to Keck, 5,166,515 to Attridge, and 5,156,976 to Slovacek and Love, and EP publications Nos. O 517 516 and O 519 623, both by Slovacek et al, all disclose apparatus for immunoassays utilizing evanescent sensing principles.

10 Desirably, an immunosensor should be capable of accurately and repeatably detecting analyte molecules at concentrations of  $10^{-13}$  M (molar) to  $10^{-15}$  M and preferably below. At present, such sensitivity is not believed to be available in a commercially practical and affordable immunosensor. Also desirably, an immunosensor should provide multiple "channels", that is, the capacity for measuring multiple analytes and multiple measurements of the same analyte, on the same waveguide substrate. Such an immunosensor would allow both self-calibration with 15 known standards, and screening for a panel of different analytes selected for a particular differential diagnostic procedure.

20 One approach to improving the sensitivity (lowering the detection limits) of fluorescent immunosensors, proposed by Ives et al. (Ives, J.T.; Reichert, W.M.; Lin, J.N.; Hlady, V.; Reinecke, D.; Suci, P.A.; Van Wagenen, R.A.; Newby, K.; Herron, J.; Dryden, P. and Andrade, J.D. "Total Internal Reflection Fluorescence Surface Sensors" in A.N. Chester, S. Martellucci and A.M. Verga Scheggi Eds. Optical Fiber Sensors, NATO ASI Series E, Vol 132, 391-397, 1987), is to use waveguides which are very thin, perhaps about  $1\mu\text{m}$  in thickness. Such thin 25 waveguides may provide higher evanescent intensity and a reflection density of 500-1000 reflections/cm or more. However, the potential lowering of the detection limit by use of thin-film waveguides is achievable only if the waveguide material is nonfluorescent and low-loss. Most present evanescent immunosensing technology ("thick" waveguides) utilizes silica glass ( $\text{SiO}_2$ ), which is intrinsically nonfluorescent.

Only the purest grades of silica, for example UV grade quartz which is rather expensive, lack the additives and impurities that fluoresce (Dierker, et al., 1987).

Further, one cannot simply fabricate silica-on-silica waveguides by depositing  $\text{SiO}_2$  onto a quartz substrate because there would be no refractive index difference. Instead one must either (1) fabricate a glass waveguide of higher refractive index than the underlying silica substrate, or (2) deposit a silica waveguide onto a transparent substrate of a lower refractive index. Therefore, other materials must be employed.

Thin film waveguides have been described by Sloper et al. ("A planar indium phosphate monomode waveguide evanescent field immunosensor, Sensors and Actuators B1:589-591, 1990) and Zhou et al. ("An evanescent fluorescence biosensor using ion-exchanged buried waveguides and the enhancement of peak fluorescence", Biosensors and Bioelectronics 6:595-607, 1991. However, neither of these devices was capable of achieving detection of analyte concentrations significantly below  $10^{-10}$  molar. The waveguide structure of Sloper was of the gradient-index type, formed by diffusion of a dopant into the silica base, which results in a drop-off of dopant concentration with distance from the interface. The waveguide of Zhou had only a single "channel" (measurement region).

Therefore, a need exists for an optical structure useful in an evanescent sensing immunoassay, which provides increased levels of propagated TIR light and increased evanescent field intensity, as well as multiple measurement regions. Such an optical structure should desirably be capable of detection of analyte concentrations of  $10^{-13}$  M and preferably below  $10^{-15}$  M. A need also remains for an immunosensor including such an optical structure, which is sufficiently inexpensive and practical to be produced as a commercial device, and which provides accurate and repeatable results in the hands of non-skilled persons. Still further, a need also remains for an biosensor capable of detecting ions, as opposed to hormones or other biological molecules.

## SUMMARY

The invention comprises a step gradient waveguide, also described as a composite waveguide, useful for performing evanescent sensing assays. The waveguide includes a thick substrate formed of a first optical material of refractive index  $n_1$  and having a first surface, and a thin film formed of a second optical material having a refractive index  $n_2$  which is greater than  $n_1$ , the thin film being disposed adjacent and in operative contact with the substrate. The optical substrate has a thickness which may be from about 0.3  $\mu\text{m}$  up to 10 mm or more, depending on the material used, while the thin film has a thickness which is generally between about 0.3  $\mu\text{m}$  and about 5  $\mu\text{m}$ . Highly preferably, the waveguide thickness is selected to provide for internal propagation in from one to four modes only.

The invention further encompasses a kit comprising the composite waveguide, and at least one specific binding molecule immobilized to said thin film and constructed to bind with specificity an analyte. The kit may be further constructed for use in either a competition assay or a sandwich type assay. The tracer molecule is further constructed to be excited by evanescent light penetrating from the thin film into an adjacent aqueous environment, and to respond thereto by emitting a photodetectable tracer signal.

In a preferred embodiment, the composite waveguide comprises the substrate with a plurality of thin strips of the thin film disposed in parallel array thereon, and the kit further includes a second solution containing a known concentration of analyte in a buffer.

In preferred embodiments of the composite waveguide, coupling means are integrally adapted and in operative contact with the thin film for coupling input light thereinto. One embodiment of coupling means is a grating etched into the substrate on the surface adjacent the thin film. Alternatively, instead of a physical grating a grating-type coupler may be composed of an array of segments of a different refractive index  $n_3$  disposed in the substrate in a regular spacing analogous to that of the ridges in a grating. In another alternate embodiment, a relatively thick waveguide coupler is disposed on the planar surface of the thin film waveguide opposite the

substrate, near one end of the composite waveguide. The waveguide coupler is dimensioned and constructed of appropriate optical material so as to evanescently couple light propagated by TIR in a thick input waveguide across a thin spacing layer into the thin film waveguide.

5 In a highly preferred embodiment, the composite waveguide is constructed by vapor deposition of the thin film on the substrate, masking of the thin strips with a resist compound, and etching the thin film to expose the substrate in the unmasked areas. The resist compound is then removed to allow immobilization of the binding molecules to the thin strips.

10 The invention further embraces apparatus for performing specific binding assays, the apparatus comprising a composite waveguide together with an optical unit having a light source positioned to direct light into the waveguide for propagation by total internal reflectance therein, and detection means oriented to detect light from a region proximal to the optical structure.

15 The IOW of the invention is capable of detecting analyte concentrations in the femtomolar ( $10^{-18}$  M) range. Such sensitivity is well beyond that achieved by other thin-film evanescent sensors, and also beyond the sensitivity expected solely on the basis of the increased reflection density intensity in the thin-film waveguide.

#### 20 BRIEF DESCRIPTION OF THE DRAWINGS

In the drawings, which depict the best mode presently known for carrying out the invention:

FIG. 1A is a side cross-sectional view of the composite waveguide of the invention;

25 FIG. 1B is a top view of a composite waveguide module having a cross-sectional composition according to FIG. 1A;

FIG. 2A is a side view of a composite waveguide having an integral etched grating coupler;

FIG. 2B is a schematic illustration of the embodiment of FIG. 2A showing diffraction of normal incident light beam into a guided mode of the thin film waveguide;

FIG. 3A is a side cross-sectional view of an alternate embodiment of a composite waveguide, having an integral waveguide coupler;

FIG. 3B is a perspective view of the embodiment of FIG. 3A;

FIG. 3C is a schematic illustration of the overlap of the evanescent electromagnetic fields of the input waveguide and the thin film waveguide;

FIG. 4A is a schematic diagram of a top view with partial cutaway of a flow cell incorporating a multichannel composite waveguide;

FIG. 4B is a side cross-section taken along line B-B of FIG. 4A;

FIG. 5 is a schematic diagram of optical apparatus including the flow cell of FIGS. 4A and 4B, for performing binding assays therewith;

FIGS. 6A and 6B are charts of fluorescence measurements made with the apparatus of FIG. 4;

FIG. 7 is a top view of an alternate embodiment of a composite waveguide, having etched sample wells;

FIG. 8 is a schematic view of a sensor configured to detect a DNA macromolecule the sensor being illustrated in an initial configuration;

FIG. 9 is a schematic view of the sensor of FIG. 8 with an analyte shown being added;

FIG. 10 is a schematic view of the configuration of Assay I;

FIG. 11 is a schematic view of the configuration of Assay II;

FIG. 12 is a graph of the oligonucleotide concentration versus fluorescence intensity for Assay I;

FIG. 13 is a graph of the oligonucleotide concentration versus fluorescence intensity for Assay II;

FIG. 14 is a graph of the equilibrium binding curves, showing concentration versus fluorescence intensity increasing for Example 5;

FIG. 15 is a graph of the equilibrium binding curves, showing SY5-labeled Oligo concentration versus fluorescence intensity increase for Example 6;

FIG. 16 is a graph illustrating the kinetics of increasing oligonucleotide Traus Concentration for Example 5;

FIG. 16A is a sectional view of the graph of FIG. 16;

FIG. 17 is a compilation of data for Example 5, wherein the concentration was  $1 \times 10^{-12}\text{M}$ ;

FIG. 18 is a compilation of data for Example 5, wherein the concentration was  $1 \times 10^{-11}\text{M}$ ;

FIG. 19 is a compilation of data for Example 5, wherein the concentration was  $1 \times 10^{-10}\text{M}$ ;

FIG. 20 is a compilation of data for Example 5, wherein the concentration was  $1 \times 10^{-9}\text{M}$ ;

FIG. 21 is a continuation of the data of FIG. 20;

FIG. 22 is a compilation of data for Example 5, wherein the concentration was  $1 \times 10^{-8}\text{M}$ ;

FIG. 23 is a continuation of the data of FIG. 22;

FIG. 24 is a compilation of data for Example 5, wherein the concentration was  $1 \times 10^{-7}\text{M}$ ;

FIG. 25 is a chart displaying the total increase in fluorescence (Equilibrium) data for the Polystyrene oligonucleotide assay;

FIG. 26 is a graph illustrating the binding curves of the integrated Optic waveguide of example 6;

FIG. 27 is a compilation of the experimental results obtained from Example 6 showing the raw fluorescence kinetic data for various oligonucleotide concentrations;

FIG. 28 is a compilation of the experimental results obtained from Example 6 showing the background subtracted fluorescence kinetic data; and

FIG. 29 is a compilation of data from Example 6 showing the total increase in Fluorescence (Equilibrium).



## DETAILED DESCRIPTION OF THE ILLUSTRATED EMBODIMENTS

A composite waveguide indicated at 100 has a substrate 102 formed of a first optical material of refractive index  $n_1$  (FIG. 1A), and a thin-film waveguide layer 103 of a second optical material of refractive index  $n_2$ , with  $n_2$  being greater than  $n_1$ . The waveguide layer 103 has a plurality of binding molecules 106, each constructed to specifically bind an analyte, immobilized on the upper surface 103A. The substrate 102 has a thickness D1 which may be from about 0.3  $\mu\text{m}$  up to 10 millimeters (mm) or more, while the thin-waveguide 103 has a thickness D2 of between about 0.3 microns ( $\mu\text{m}$ ) and 5  $\mu\text{m}$ . If the substrate 102 is relatively thick, perhaps 0.5 mm or more, as shown in FIG. 1A, it may also serve as a mechanical support in addition to having the optical properties necessary for supporting effective waveguiding of light in the thin film waveguide 103. However, in some embodiments it is preferred, generally for easier manufacture, that the substrate 102 be comparatively thin. In such cases an additional support layer (not shown) may be added below the optical substrate 102 (not shown).

In a presently preferred embodiment, the substrate 102 is silicon dioxide, either in the form of a  $\text{SiO}_2$  thin film laid down by vapor deposition or other techniques as known in the art, or in the form of quartz (here defined as including both natural quartz, and fused silica or other manmade quartz), with a waveguide layer formed of silicon oxynitride ( $\text{Si}_2\text{O}_x\text{N}_y$ , or, generally, "SiON"). The term "deposited  $\text{SiO}_2$ " is used hereinafter to distinguish the deposited  $\text{SiO}_2$  from quartz/fused silica, etc. Silicon dioxide has a refractive index of  $n = 1.47$ , and, if sufficiently pure, exhibits very low fluorescence. Silicon oxynitride is mechanically durable, transparent in the visible wavelength range, substantially non-fluorescent, and has a refractive index generally above 1.5 and reaching as high as 2.0 depending on the stoichiometric ratios of O to N. In a further presently preferred embodiment, the SiON is  $\text{Si}_2\text{O}_3\text{N}$ .

In another embodiment, the substrate 102 is formed of SiON having a refractive index  $n_1$  and the waveguide film 103 is formed of SiON having a refractive index  $n_2 > n_1$ . The refractive index of the SiON compositions is controlled by the

proportion of nitrogen. That is, the SiON of the substrate will have a lower proportion of nitrogen than the SiON of the waveguide film.

In still another embodiment, the substrate 102 is formed of  $\text{MgF}_2$  (magnesium fluoride), refractive index  $n = 1.38$ , and the waveguide layer 103 is a pure silicon dioxide thin film. Because the  $\text{MgF}$  substrate is formed by vapor deposition techniques or the like which are tedious and comparatively expensive, in this embodiment the substrate 102 need be only sufficiently thick to ensure efficient propagation of at least one guided mode. At present, the SiON waveguide layer 103 is preferred, as it provides better adherence to the substrate in aqueous solutions than the  $\text{MgF}_2$  waveguide. However, the  $\text{MgF}_2$  waveguide/ $\text{SiO}_2$  composite waveguide may be entirely suitable for use with non-aqueous solvents.

In a presently preferred embodiment of a structure including a thin film SiON waveguide, the substrate 102 is a layer of  $\text{SiO}_2$  deposited on a silicon wafer support. This is preferred because the surface of the substrate 102 is much more uniform and smooth, which in turn produces a much smoother planar surfaces in the deposited SiON film. The increased smoothness of the waveguide surfaces reduces the propagation losses by at least two-fold in comparison with a thin film waveguide deposited on a quartz or fused silica substrate.

In FIG. 1B, the waveguide layer is shown as a plurality of strips 104 which do not extend the full length of the substrate 102. This is an optional configuration of the waveguide layer designed to provide multiple waveguide "channels" for different sample solutions and/or for having different immobilized capture molecules. Further optionally, the composite waveguide 120 may be configured as a plurality of rectangular wells 108A, 108B, 108C, each containing three strips 104. The strips 104 are separated from one another by a distance  $D_3$  of at least about 5 mm. The wells 108A,B,C are separated by walls 110 extending upward from the substrate 102. The device of FIG. 1B may be formed by vapor deposition of the SiON over the entire surface of the substrate 102, masking the regions corresponding to the thin strips 104 with a resist compound, etching the exposed SiON to remove it from the substrate 102, and removing the resist compound. In FIG. 1B, shaded regions 112

represent areas of the waveguide which were not exposed to etchant. The binding molecules 106 are then immobilized to the thin strips 104. This can be accomplished by means known in the art of binding assays. Alternatively, the wells 108A, 108B, 108C may be configured for flow-cell type operation, as separate flow-through compartments for background, calibration (known analyte concentration), and test sample (unknown) solutions.

High quality composite waveguides made of the material combinations described above can be formed using plasma enhanced chemical vapor deposition (PECVD) to deposit a thin film over an entire surface of the substrate, and then lithographically etching away the thin film except in the desired strips. In the case of SiON, the PECVD is performed with a mixture of nitrogen, nitrous oxide, ammonia and silane gases, and the stoichiometry of  $\text{Si}_2\text{O}_x\text{N}_y$  is varied by changing the respective partial pressures of the above components.

For the lithographic steps, it is presently preferred to use a reactive-ion etch (RIE) process with commercially available photoresist compounds. The areas of the film which are to become the strips or channels are coated with the resist, and the surrounding areas are etched down to the substrate. In the present embodiment, the DUV negative-tone photoresist XP89131 available from Shipley Co. is preferred, and the etchant is a plasma of  $\text{O}_2$  and  $\text{CHCl}_3$  gases. Positive tone resists such as XP2198 (Shipley Co.), APEX-E from IBM, and CAMP6 from OCG are also suitable. (All of these compositions are proprietary). All of these resist compounds are of the chemical amplification type, comprised substantially of phenolic polymers. While older photo-resists such as PMMA (polymethylmethacrylate) could be used, the chemically amplified DUV resists are considered to produce superior results for the present purposes.

Almost any other etching technique could be readily applied for etching the channels into the waveguide film, including plasma etch, ion milling, or a wet etch. However, where it is desired to use a substrate-etched grating to increase the coupling efficiency (see FIG. 2A and related description), the RIE process is preferred. This is because the etching process is critical to production of a highly anisotropic grating.

RIE etching is believed to provide the best results for the grating, and wet etching would be unsuitable. For waveguides having an etched grating coupler, then, it is convenient to use the RIE process to etch the channels as well.

It is also within contemplation that the thin-film waveguide channels could be produced by a wet lift-off process. In this process, the substrate of the waveguide would be masked to leave the channel regions bare, and the SiON thin film would then be deposited over the whole surface including the masking agent. After deposition of the film, the entire surface would be immersed in a solvent selected to "lift-off" or remove the mask, together with the waveguide film deposited on the mask, while leaving the film deposited on the bare quartz.

All steps of the waveguide fabrication should be performed in an extremely clean environment, preferably a clean-room meeting the standards of at least class 10.

#### Example 1. SiON composite waveguide fabrication.

Waveguides comprising a  $1\text{ }\mu\text{m}$  thick film of  $\text{Si}_2\text{O}_3\text{N}$  on  $\text{SiO}_2$  have been produced as follows. A heated sample holder containing a 10.16 centimeter (4 inch) quartz wafer was placed in a plasma-enhanced chemical vapor deposition (PECVD) reactor. Process gasses flowed from the perimeter of the PECVD vessel, over the sample, and were then pumped out of the vessel through a central port. During deposition, the PECVD reactor was maintained at  $300^\circ\text{C}$  and 1.25 Torr, with 50W of power to a 13.56 MHz generator. The gas mixture consisted essentially of 27 standard  $\text{cm}^3$  per minute (sccm) silane ( $\text{SiH}_4$ ), 500 sccm nitrogen, 200 sccm ammonia, and 1300 sccm nitrous oxide. The respective inlet partial pressures were approximately 17 mTorr, 308 mTorr, 123 mTorr, and 802 mTorr. Under these conditions, the deposition rate was about  $590\text{ }\text{\AA}/\text{minute}$  and a  $1\text{ }\mu\text{m}$  film was produced in about 15 minutes. These silicon oxynitride films had an approximate elemental ratio of  $\text{Si}:\text{O}:\text{N} = 2:3:1$ , and a refractive index of about  $n = 1.53$  to  $1.54$ .

Next, the  $\text{Si}_2\text{O}_3\text{N}$  films were coated with photoresist, masked, and developed to expose all but nine parallel  $1\text{ mm} \times 65\text{ mm}$  strips of the SiON film separated by 5 mm. The unmasked SiON was etched down to the quartz wafer. The photoresist was

stripped, and the etched wafer was cleaved to produce three 23 mm x 69 mm rectangular pieces, where each piece contained three parallel 1  $\mu$ m thick channel waveguides. Only the two outside channels were used in the assays described here.

There are several properties of composite waveguides which can be correlated to their relative suitability for evanescent-sensing biochemical binding assays. These include the ability to withstand the solvent used in the assay, which is generally but not always water; the amount of propagated light lost per unit distance traveled in the waveguide ("propagation loss", expressed as dB per cm; the intrinsic level of fluorescence of the waveguide upon irradiation with light of the excitation wavelength to be used, as measured within the bandwidth of the tracer fluorescence emission; reflections/cm at the waveguide-superstrate interface ( $N_r$ ); and adequate depth of evanescent penetration ( $d_p$ ).

#### Example 2. Characterization of SiON waveguide.

Scanning electron microscopy was used to examine the shape and thickness of etched channel waveguides. A nominal channel should have optically smooth, rectangular edges and a uniform thickness. For optical characterization of channel waveguides, the beam of the 632.8 nm line from a HeNe laser was coupled into the waveguide using a prism coupler. In a typical experiment, values were determined for waveguide thickness ( $t_{wg}$ ), refractive index ( $n_{wg}$ ), internal reflection angle ( $q_{wg}$ ), reflections/cm at the waveguide-superstrate interface ( $N_r$ ), depth of penetration ( $d_p$ ), and propagation loss (dB/cm). The data of Table 1 summarize the properties measured for a typical SiON waveguide constructed by the procedure outlined

Table I

Optical characterization of SiON waveguides

waveguide parameter	air superstrate	water superstrate
$t_{wg}$ ( $\mu m$ )	$1.31 \pm 0.11$	N.A.
$n_{wg}$	$1.53 \pm 0.0$	N.A.
propagation loss (dB/cm)	$0.76 \pm 0.09$	N.D.
$q_{wg}$ (degrees)	$82.67 \pm 0.47$	$82.85 \pm 0.42$
$d_p$ (nm)	$44.10 \pm 0.06$	$68.79 \pm 0.29$
$N_r$ (reflections/cm)	$492.10 \pm 71$	$479 \pm 0.29$

Each parameter was measured for three different channel waveguides with air as the superstrate. The mean and standard error of these measurements is reported. In addition, the last three parameters ( $q_{wg}$ ,  $d_p$ ,  $N$ ) were determined when water was substituted for air as the superstrate. N.D. – not determined.

in Example 1. Also, these waveguides possess a high degree of physical definition and the desirable features of low propagation loss and minimal intrinsic waveguide fluorescence.

Example 3. Fabrication of  $MgF_2/SiO_2$  composite waveguide.

The  $SiO_2/MgF_2$  laminates were deposited *in situ* by electron beam evaporation, using a multipocket electron beam gun in a Balzers BAK760 high-vacuum coater. The deposition chamber was evacuated to 2  $\mu$ Torr, and the silica chips used as mechanical supports on which the laminates were deposited were heated to 200°C. The chamber pressure rose to 3.8  $\mu$ Torr as a result of heating of the silica chips prior to deposition. The source materials, 99.9% pure  $MgF_2$  and 99.999% pure  $SiO_2$ , were placed in molybdenum- and graphite-lined hearths, respectively, in the rotatable source carousel. Both source materials were brought to the deposition temperature with the shutter closed. First the  $MgF_2$  was evaporated with a slowly sweeping 10-kV (kilovolt) electron beam ( $\approx 12$  mm<sup>2</sup> elliptical spot size) followed by similar

evaporation of the  $\text{SiO}_2$ . The deposition rates of  $\text{MgF}_2$  and  $\text{SiO}_2$  were controlled at 20 Å/s and 10 Å/s (angstroms per second), respectively, by means of an oscillating crystal monitor. A 0.36  $\mu\text{m}$  film of  $\text{MgF}_2$  was deposited in 3 minutes, and a 1.0  $\mu\text{m}$  film of  $\text{SiO}_2$  was deposited in 16 minutes.

Following construction of the physical portion of the waveguide, a plurality of specific binding molecules, that is, molecules having the property of specifically binding a chosen analyte, are immobilized on the surface of the thin film waveguide channel(s). Such specific binding molecules may be antibodies, receptor molecules, and the like, or fragments thereof that are operative to specifically bind the corresponding analyte. Converse pairs, e.g. such as an antigen for detecting certain antibodies with the analyte being the antibody, are also suitable. Other types of binding molecule/analyte pairs will be apparent to those of ordinary skill, as will means for immobilizing the binding molecule. Presently preferred means for immobilizing the binding molecule are discussed subsequently herein.

A flow cell incorporating a two channel waveguide fabricated and characterized as in Examples 1 and 2 is shown in FIGS. 4A and 4B. A composite waveguide 100 is held between a bottom plate 402 and a top plate 404 spaced by a pair of black silicone rubber o-ring gaskets 406 (FIG. 4B). Each gasket is seated in a corresponding groove 406A milled in the top plate, and forms a longitudinal flow channel 408. The flow channels have respective inlet ports 410A, 412A and outlet ports 410B, 412B. Arrows 409 indicate the direction of flow of liquid through the channel 408. Each flow channel also has a hole 414 for placing a coupling prism 416. The interior of the bottom plate has a window 418 milled therein to support the waveguide and provide a clear view of the waveguide bottom through the silica chip support layer. The aluminum parts of the entire flow cell are desirably flat black, to absorb stray light. Coupling prisms (4 mm wide by 10 mm high truncated 45-45-90 LaSF prisms,  $n_p = 1.83$ , obtained from Karl Lambrecht Co. were fixed in place inside the windows 414 with GTE 118 RTV silicone rubber cement. A series of finger screws (not shown) were used to clamp the top and bottom plates 404, 402 to the substrate 102, and to maintain coupling pressure on the prisms 416. Polyethylene

screw-in tubing connectors, TEFLON® microtubing, and disposable syringes served as the sample delivery system (not shown). The sample volume of each channel 408 was 300  $\mu$ L.

Prism coupling the waveguide with aqueous superstrate comprises placing the waveguide on the bottom plate of the flow cell, wetting the waveguide surface opposite the substrate with buffer solution to be used in measurements, and then placing the top plate with the attached prisms over the wetted waveguide. An advantage of the raised-channel waveguide structure is that effective prism coupling is easily accomplished by placing mild pressure on the coupling prisms.

Evanescent binding assays in two model systems were performed with the flow cell of FIGS. 4A, 4B, using a dual-channel assay format similar to that described by Herron et al. in "Fluorescent immunosensors using planar waveguides", SPIE Vol. 1885 (Advances in Fluorescence Sensing Technology), pp. 28-39, 1993, as well as in the copending U.S. Patent Applications Serial Nos. 08/064,608 and 08/263,522.

#### Example 4. Model assays using thin-film waveguide flow cell.

In the first or direct-binding model system, the binding of a biotinylated antibody labelled with a fluorescent tracer to avidin immobilized on the waveguide surface was measured. The particular antibody used was an anti-fluorescein antibody designated 9-40, produced by standard hybridoma methodology. The 9-40 antibody was labelled with the dye Cy-5 ( $\lambda_{\text{abs,max}} = 650 \text{ nm}$ ,  $\lambda_{\text{em,max}} = 667 \text{ nm}$ ,  $\epsilon_{\text{max}} = 2 \times 10^5 \text{ M}^{-1} \text{ cm}^{-1}$ ) according to the manufacturer's procedure (Biological Detection Systems). The labeling efficiency was approximately four dyes per protein molecule. An untreated hydrophilic SiON IOW surface was treated for 8 hr with a 0.2 mg/mL solution of avidin (obtained from Sigma) dissolved in phosphate buffered saline (PBS, pH 7.4), to physically adsorb the avidin to the waveguide surface.

A portion of the Cy-5 labeled 9-40 was biotinylated using N-hydroxy-succinimidobiotin (Sigma). Specifically, a 20-fold molar excess of this reagent was added to a 1 mg/mL solution of 9-40 in 0.1 M sodium carbonate/sodium bicarbonate buffer, pH 9 (CBB). This mixture was allowed to react for 2 hr at room temperature,



and the product (biotinylated, CY-5-conjugated 9-40) was purified by gel permeation chromatography using a PD-10 column (Pharmacia) equilibrated in PBS.

The second type of assay was an indirect, sandwich type assay in which the binding of free fluorescein-conjugated BSA to immobilized anti-fluorescein antibody (antibody 9-40) was measured using an anti-BSA antibody conjugated with Cy-5 as a tracer. The IOW surfaces with immobilized 9-40 antibody was prepared as follows. Prior to immobilization, 9-40 was acid pre-treated in citrate buffer (pH 3) for 1 hr and reconstituted in PBS at a concentration of  $2.3 \times 10^{-7}$  M (0.03 mg/ml), following the procedure described by Lin et al. (1989). SiON IOWs were treated with 1 % dichlorodimethylsilane (DDS, Sigma), rinsed three times in deionized water, and then immersed in a solution of the acid-pretreated antibody 9-40 for 3 hr at room temperature.

Murine monoclonal anti-bovine serum albumin antibody (anti-BSA; available from Sigma) was labeled with Cy-5 as described for antibody 9-40. Bovine serum albumin (Sigma) was labeled with fluorescein isothiocyanate (FITC, Sigma). A 20-fold molar excess of FITC was added to a 1 mg/ml solution of BSA in CBB. This mixture was allowed to react for 1 hr at room temperature, and the conjugate was purified using a PD-10 column equilibrated in PBS. Labeling efficiency was approximately 2 FITC groups per BSA molecule. It should be noted that since the assays were performed with excitation at 632.8 nm, a wavelength which well exceeds the absorption band of FITC ( $\lambda_{\text{abs,max}} = 492$  nm), the FITC here serves solely as a hapten for 9-40, and not as a fluorescent tag.

To perform the assays, IOWs coated as described in the preceding paragraphs were mounted in a flow cell like that of FIG. 4, and placed on a rotating goniometer (not shown) in the collection path of a spectrograph 502 associated with a CCD camera 504 (FIG. 5). The goniometer is optional, but useful in an experimental set-up to ascertain the best coupling angle for coupling the laser beam into the waveguide. Once the best coupling angle has been determined and the apparatus standardized, a goniometer is not required to perform the assay. The input light was the red line (6 mW at 632.8 nm) of a HeNe laser (made by Melles Griot), split into

dual beams 506, and simultaneously prism coupled into the two channels 104 of the composite waveguide. In this manner, a reference channel and a sample channel were excited.

For detection, the 1 mm wide guided modes in each channel were oriented perpendicular to the entrance slit of the spectrograph. Light emitted from a 1 mm long section of the two parallel streaks was imaged through the window 418 in the bottom plate 402 of the flow cell with a 50 mm f/5.6 camera lens onto the slit of spectrograph 502. The collected light emission was wavelength-dispersed using a single grating monochromator 502 (SPEX 1681c Minimate-2, f/3.9, 300 grooves/mm) centered at 700 nm, and directed onto a thermoelectrically-cooled CCD detector 504 (Photometrics Series 200), producing an image 508 containing reference region 510 and sample region 512. The reference and sample image regions 510, 512 were separately binned and vertically integrated and converted on a MACINTOSH IIx computer to reference spectrum 520 and sample spectrum 522, respectively, of intensity vs. wavelength.

Both assays followed the same general scheme: 1) a capture protein was immobilized to the surface of both the sample and reference channels; 2) aliquots of the hapten-carrier protein conjugate (with fluorescent tracer) were added to the sample channel; and 3) the same concentration of fluorescent tracer (without hapten) was added simultaneously to the reference channel.

Each measurement began by collecting the baseline spectra of PBS buffer in both the sample and reference channels. Starting with the most dilute analyte solution, 1 mL of the sample and reference solutions described in Table 1 were injected into the flow cell. The solutions were incubated with the waveguide surface for 2 min for assay 1 and 5 min for assay 2, followed by collection of 10 sec spectrograph images of both channels. This process was repeated several times until the most concentrated solution was assayed. All CCD images were collected without a wash step; i.e., with the fluorescent analyte filling the sample and reference channel volume. Reference and sample spectra derived from each CCD image of each measurement were integrated from 653 nm to 693 nm. Binding curves were

constructed from these data by taking the ratio of the integrated intensity of the sample to that of the reference, and then plotting these ratios as a function of bulk analyte concentration. Such radiometric measurements compensated for two effects: nonspecific binding of the tracer, and parasitic excitation of bulk fluorescence.

5           The results obtained with the two assay schemes are shown in FIGS. 6A-6B. The results indicate that analyte could be detected at concentrations as low as  $3 \times 10^{-15}$  M with a two-channel  $\text{Si}_2\text{O}_3\text{N}$  thin film waveguide flow cell. These measurements are at least  $3.3 \times 10^4$  times more sensitive than the thin film waveguide immunosensors reported by Sloper et al. or Zhou et al., *op cit.*, and at least 33 times more sensitive  
10           than the thick film sensor of Herron et al. 1993, *op cit.*

          The prism coupling scheme described in Example 4 is efficient, simple, and well suited for use in laboratory experiments. However, such a device is relatively expensive, and thus less than ideal for a disposable IOW module for use with a point-of-care optical unit. Further, the prism coupling scheme requires precise pressure on  
15           the prisms and precise alignment of the incident laser beam.

          An alternate embodiment of a coupling scheme, which avoids these problems, is to provide a diffraction grating etched either into the surface of the waveguide opposite the substrate, or into the substrate adjacent the waveguide. The presently preferred embodiment is that of a substrate-etched grating. As seen in FIG. 2A, the  
20           substrate 102 has a grating 200 etched into the surface 102A which is in contact with the thin film 103. The binding molecules 106 are immobilized down-beam of the grating 200. Optionally, a second grating (not shown) may be etched into the substrate 102, down-beam of the immobilized binding molecules. Such a second grating is for purposes of optical characterization of the waveguide, and is not  
25           required for purposes of the fluorescence binding assay.

          The depicted substrate-etched grating is advantageous in that the light can be conveniently in-coupled from the back side of the device, and without interference from macromolecules bound to the waveguide surface. Also, it is convenient and economical from a manufacturing perspective to etch the grating into the substrate  
30           prior to deposition and etching of the channel waveguides.

The efficiency of light incoupling by the etched grating will vary according to the spacing, the profile or blaze, and the aspect ratio of the grooves. These parameters should be optimized according to the wavelength of the input (excitation) light, the index of refraction of the superstrate, and the waveguide thickness, by techniques conventional in the art. In the present case, a grating period D4 of about 0.42  $\mu\text{m}$  was computed for coupling of a normally incident 632.8 nm laser beam into the  $m=0$  mode of the thin film SiON waveguide ( $\Theta = 83^\circ$ ; see FIG. 2B).

Still another coupling scheme uses the principle of evanescent penetration to evanescently couple light from a waveguide coupler into the composite waveguide across a precise spacing layer (FIGS. 3A, 3B and 3C). The waveguide coupler is contactingly mounted on the upper surface of the composite waveguide, adjacent the exposed surface of the thin film. Like the prism coupler, the waveguide coupler does not extend into the region to which the specific binding molecules are immobilized.

As seen in FIG. 3A, a waveguide coupler 300 comprises an input waveguide 302 which consists of a comparatively thick (1 mm or greater) layer of material of refractive index  $n_3$ , and a thin spacing layer 304 of refractive index  $n_4$ , where  $n_4$  is less than both  $n_3$  and  $n_2$ . The input waveguide has a receiving edge for receiving the input laser light, and a thickness D5 which is sufficient to allow easy end coupling of the input beam into the receiving edge. The spacing layer has a thickness D6 selected to maximize the evanescent coupling of waveguided light from the input waveguide into the thin film of the composite waveguide.

According to coupled mode theory, light propagating in one waveguide can be synchronously coupled into an adjacent waveguide if there is overlap between the evanescent regions of the two waveguides in the low index region separating them (FIG. 3C). The efficiency of coupling depends upon the spacing between the guides, the respective modal propagation constants, and the distance of the interaction. Since the coupling efficiency varies according to the cosine of the distance of interaction, in theory it will reach 100% at a certain length. Therefore, the synchronous evanescent coupling device should be quite efficient.

To achieve maximum coupling efficiency, the spacing layer thickness should be adjusted such that

$$K_1 = (j + 1)\pi/2, (j = 0, 1, 2\dots)$$

where K is the coupling constant and depends on the refractive indices  $n_1, n_2, n_3, n_4$ , the wavelength  $\lambda$  of the input light, and the respective thicknesses D2, D5 and D6 of the thin film waveguide, the input waveguide, and the spacing layer. With the thin film waveguide, it should be taken into account that generally, only one or a few of the lowest modes (preferably from  $j=0$  to about  $j=10$ , and no more than  $j=20$ ) are being propagated in the waveguide. Preferred waveguide couplers are configured to increase the proportion of laser light which is propagated in these lower modes.

For a silicon oxynitride composite waveguide, the spacing layer can be made of  $\text{SiO}_2$ . Desirably, the spacing layer 304 is deposited epitaxially, so that its thickness can be controlled very accurately at the time of deposition. The input waveguide 302 is attached on top of the spacing layer, after all epitaxial processing and etching steps have been finished in the fabrication of the composite waveguide. The input waveguide is made of a high refractive index material such as rutile, zirconia, or a high-index glass, and may be adhered to the spacing layer 302 by an index-matching cement of refractive index near  $n_3$ . This assembly would be comparatively inexpensive, and is thus attractive for a disposable, one-time use module.

Preferably, as shown in FIG. 3A, the laser light is focussed into the receiving edge of the input waveguide at an angle  $\Theta'$  which is a degree or two less than the critical angle for TIR at the interface between the input waveguide and the spacing layer. Such angled beam entry has been found to substantially increase the proportion of internally propagated light in the evanescent tail, and thus the evanescent intensity.

Still another embodiment is an IOW with integrally formed sample wells 702, 704, 706 (FIG. 7), each of which may contain multiple thin waveguide channels 104. In a preferred embodiment, walls 700 which enclose the wells are formed by layering a submicron cladding film of the substrate optical material on the composite waveguide, appropriately masking, and then etching the cladding back down to the

SiON waveguide layer. These steps are performed prior to immobilization of the specific binding molecules. Sample wells thus constructed provide physically defined regions in which either different antibodies can be immobilized, or to which different solutions, e.g. background or control samples vs. test samples, can be added. The same technique could be used to form open-ended longitudinal flow channels instead of the box-shaped reservoirs illustrated. Also, instead of layering the reservoir wall material over the composite waveguide, the same technique could be used to form reservoir or flow channel walls on a separate top plate.

At present it is believed that two additional factors related to the chemistry of immobilization of specific binding molecules to the waveguide surface can affect the sensitivity achieved. These are 1) the relative amount of non-specific protein binding to the thin-film surface (including the walls of any sample wells); and 2) the analyte/tracer-binding capacity of the immobilized binding molecules.

In a highly preferred embodiment of the multi-channel IOW, the IOW surface is treated to minimize non-specific binding which otherwise can cause significant overlap of tracer signal between channels. The problem of such overlap worsens rapidly with increasing numbers of channels per IOW. Take as an example a six-channel waveguide divided into three adjacent-channel pairs in three corresponding separate wells, with anti-CK-MB immobilized to one member of each pair and anti-CK-MM immobilized to the other member. The IOW so constructed would permit simultaneous calibrated measurement of binding of 2 different analytes, CK-MB and CK-MM. If the level of non-specific binding is assumed to be about 5% of the specific binding level, the channel with anti-CK-MB covalently attached will be contaminated to about 5% with non-specifically adsorbed anti-CK-MM. Conversely, the channel with anti-CK-MM will be contaminated to about 5% with non-specifically adsorbed anti-CK-MB. Thus, with such a 2-analyte IOW there could be about 10% crosstalk between the channels, already an undesirable contribution to background level. For a 4-analyte IOW (twelve channels), however, the background contributed by such crosstalk would increase to about 30%, which would seriously impair

detection sensitivity. Obviously the problem worsens with increasing numbers of different analytes.

For this reason, it is highly desirable that the channels be coated with a coating that reduces non-specific binding to 1% or less of specific binding, prior to covalent immobilization of the specific binding molecule.

A method of enhancing the number of available analyte binding sites is to site-specifically immobilize the analyte binding molecules. For antigen-binding fragments such as  $F(ab')_2$ 's, this can be accomplished by providing a base coating having pendant maleimido groups. The  $F(ab')_2$  fragments are then reduced to yield Fab' fragments which contain a free thiol group at their C-terminal end, and this thiol group readily reacts to covalently couple the  $F(ab')_2$  fragment to the maleimido group. Desirably, the coating with pendant maleimido groups also provides the inhibition of non-specific binding discussed in the preceding paragraph; this may for example be accomplished by a base coating comprising chains of polymerized hydrophilic residues adhered via a silica-affinic moiety to the waveguide surface, as disclosed by the copending U.S. patent applications S.N. 08/064,608 and 08/263,522. Protocols for achieving both of these methods can be found in the noted copending applications, and in the literature in Herron et al., "Fluorescent immunosensors using planar waveguides", SPIE 1885:28-39, 1993. Preferably, at least 70% of the immobilized analyte binding molecules should be available for binding.

### Introduction

Nucleic acid probes are gaining increasing acceptance in clinical diagnostics and may one day equal or surpass the importance of immunoassays. Because of their exquisite sensitivity, evanescent wave sensors have the potential of being able to detect DNA hybridization without prior amplification of the analyte. The strategy of this invention is to employ the nucleic acid analog of an immunological sandwich assay. Specifically, an oligonucleotide primer (capture oligonucleotide) complementary to the sequence of interest (analyte) is immobilized to the waveguide using either amine-reactive, thiol-reactive or the (strep)avidin-biotin coupling

chemistry (see Herron, J. N., Caldwell, K. D., Christensen, D. A., Dyer, S., Hlady, V., Huang, P., Janatova, V., Wang, H.-K., and Wei, A.-P. "Fluorescent Immunosensors using Planar Waveguides," SPIE Vol. 1885 (Advances in Fluorescence Sensing Technology) 28-39 (1993).

5           Next, a fluorescent label such as Cy-5 is coupled to one end of a second oligonucleotide primer (tracer) which is complementary to another sequence on the analyte. To perform the assay, the analyte is first heated if it is double-stranded (to separate the two strands) and then mixed with the tracer oligonucleotide; this mixture is delivered to the sensor where the analyte hybridizes with the capture nucleotide and  
10           brings the tracer oligonucleotide into the evanescent field, where it (the tracer) fluoresces.

          For detection of nucleic acids, the major technical barrier is the elimination of the amplification step (e.g., polymerase chain reaction), which is required in present-day assays to increase the amount of nucleic acid up to a measurable level. In theory,  
15           evanescent wave sensors possess the intrinsic sensitivity necessary to measure non-amplified DNA. However, there are many technical barriers to achieving this goal including development of (1) immobilization strategies which give very low levels of non-specific binding (perhaps 10- to 100-fold lower than present day technology); (2) effective reagent dispensing strategies that can deliver femtogram quantities of nucleic  
20           acid to the sensor surface without losses in a reasonable amount of time (5-10 min); and (3) effective strategies for denaturing double-stranded analytes into the single-stranded form required for hybridization assays.

## Materials and Methods

### Waveguides

25           Planar waveguides are employed for conducting fluorescent nucleic acid hybridization assays. Nucleic acid probes are immobilized as described below to either fused silica waveguides (1.0 x 1.0 x 0.1 cm, CO grade, ESCO) or injection molded polystyrene waveguides (1.0 x 1.0 x 0.05 cm, HCP Diagnostics, Salt Lake  
30           City).



## Nucleic Acid Probes

The transcriptional promoter site of the T3 RNA polymerase is employed as a model oligonucleotide sequence in these studies. The T3 promoter is a 20-mer consisting of the following sequence: 5' AATTAACCCTCACTAAAGGG 3'. This oligonucleotide is synthesized and purified by a molecular biology service facility at the University of Utah. When used in DNA hybridization assays, it is immobilized to waveguides (using procedures described below) and used as the "capture" oligonucleotide. It is also used as the soluble inhibitor in competition assays. A second oligonucleotide sequence, complementary in sequence to the T3 promoter, is synthesized at the same service facility, fluorescently-labeled and used as the soluble "tracer" oligonucleotide in DNA hybridization assays. To this end, the oligonucleotide is synthesized with a terminal amino group on the 3' end and labeled with Cy-5 (Molecular Detection Systems, Pittsburgh), a red-emitting fluorescent dye.

### Immobilization of oligonucleotide probes to silica waveguides

Oligonucleotide probes are coupled to silica waveguides using the avidin/biotin coupling chemistry. The general strategy is to immobilize avidin to the waveguides via electrostatic interactions (silica is negatively charged and avidin positively charged at neutral pH) and then complex biotinylated nucleotides to the immobilized avidin. Biotinylated oligonucleotides are prepared by coupling biotinamidocaproate N-hydroxysuccinimide ester (BCHS, Sigma) to a modified oligonucleotide that contained a 5' amino group. The BCHS derivative is used in order to provide a six carbon spacer between the 5' end of the oligonucleotide and the biotin moiety. The spacer is thought to provide the oligonucleotide with more conformational flexibility in hybridizing with other nucleotides. Specifically, a 20-fold molar excess of BCHS is added to a 0.1 mg/mL solution of oligonucleotide in 0.1 M sodium carbonate/sodium bicarbonate buffer, pH 9 (CBB). This mixture is allowed to react for 2 hr at room temperature, and the product (biotinylated oligonucleotide) is purified by reverse phase FPLC chromatography (Pharmacia) using an acetonitrile/H<sub>2</sub>O gradient. Avidin is immobilized to silica surfaces by physical adsorption. To this end, clean silica

samples are immersed in an avidin solution [ $3 \times 10^{-6}$  M in phosphate buffered saline (PBS), pH 7.4] for 3 hr. at room temperature and then washed several times in the same buffer to remove unabsorbed avidin. Avidin-coated surfaces are then immersed in a  $1.5 \times 10^{-7}$  M solution of the biotinylated oligonucleotide in PBS for 1 hour at room temperature. Unbound nucleotide is removed by washing in PBS. In some cases, biotinylated poly(ethylene glycol) (biotin-PEG) is coupled to surfaces following the immobilization of biotinylated oligonucleotides. Biotin-PEG is prepared by reaction of N-hydroxysuccinimidobiotin (NHSB) with  $\text{NH}_2\text{-PEG-OCH}_3$  (5000 MW, Sigma) for 2 hours in CBB, and purified by dialysis using Spectra/Por dialysis membranes (1000 MW cutoff). Silica surfaces (coated with avidin and oligonucleotides) are immersed in a solution of biotin-PEG ( $5 \times 10^{-8}$  M or  $1 \times 10^{-7}$  M) for 1 hour at room temperature. Unbound biotin-PEG is removed by washing in PBS.

#### Immobilization of oligonucleotide probes to injection molded polystyrene waveguides

Similar procedures are employed for immobilizing oligonucleotides to polystyrene waveguides, except that streptavidin is used instead of avidin. Whereas avidin interacts strong with silica substrates due to electrostatic interactions, our experience has shown that it does not adsorb nearly as well to polystyrene surfaces (which are uncharged and hydrophobic in nature). In contrast, streptavidin is the protein of choice for adsorption to polystyrene surfaces. Although functionally equivalent to avidin (i.e., it also contains four biotin binding sites), streptavidin possesses little charge at neutral pH and retains its biotin binding activity upon adsorption.

#### Total internal reflection fluorescence measurements

Total internal reflection fluorescence (TIRF) spectroscopy is an optical technique that is especially well-suited for measuring the concentration of fluorescent molecules attached to a solid surface such as a waveguide. Because water has a lower index of refraction than either silica or polystyrene, a beam of light traveling through a waveguide and striking its edge will either be refracted into the aqueous phase or

reflected totally back into the waveguide, depending on the angle of incidence. In the latter case, the incident and reflected beams interfere to produce a standing wave in the waveguide. This wave has a finite electric field amplitude at the edge of the waveguide, but decays exponentially over a distance of 1000 to 2000 angstroms as one moves into the aqueous phase. This decaying electric field is referred to as the evanescent field.

Because the evanescent field is confined relatively close to the waveguide's surface, it can be used to detect nucleic acid hybridization reactions which occur at the surface. Waveguides are coated with oligonucleotides as described above and then mounted in the flowcell described in co-pending patent application serial no. 08/064,608. The fluorescence of the Cy-5 labeled tracer oligonucleotide is excited with either the 632.8 nm line of a He-Ne laser (Melles Griot) or the 633 nm line of a semiconductor laser (Power Technology, Inc.). The red line is formed into a sheet beam (with a cross-sectional area of ca. 0.2 cm x 3 cm) and coupled simultaneously into the two channels (sample and reference) of the waveguide using a cylindrical coupling lens. The fluorescence emission of Cy-5 is collected using a 50 mm f/5.6 camera lens (Nikon) attached to a charge-coupled device (CCD) (either Photometrics Ltd Series 200 or Santa Barbara Instrument Group ST6). Fluorescence emission is discriminated from Rayleigh light scattering using either a single grating monochromator (SPEX 1681c Minimate-2, f/3.9, 300 grooves/mm) or a 670 nm bandpass interference filter (Omega).

In the general scheme, a "sandwich" assay is used to detect a DNA macromolecule (analyte) such as a plasmid or a large restriction fragment. Two oligonucleotide probes are employed for this purpose — a "capture" oligo that is immobilized to the waveguide and a soluble "tracer" oligo which is labeled with Cyanalyte and they should not hybridize to each other. The initial state of the sensor (before addition of analyte is shown in FIG. 8. In this case, the tracer and capture oligonucleotides do not interact. Since there is very little fluorescent probe in the evanescent field, a low level of fluorescence is observed. Upon addition of analyte (FIG. 9), however, both capture and tracer oligos hybridize with the analyte to form a

molecular sandwich on the waveguide. In this case the fluorescent probe is confined within the evanescent field and an increase in fluorescence is observed.

### Assay Scheme

5           The use of planar waveguides and TIRF in detection of DNA hybridization is evaluated in two different assays. The first of these (Assay 1) is a direct binding assay in which one strand of a DNA duplex is immobilized to the waveguide (referred to as the "immobilized strand") and the other strand (referred to as the "soluble strand") is labeled with a fluorescent dye. Formation of double-stranded DNA  
10 molecules on the waveguide is monitored as a function of the concentration of fluorescently-labeled soluble strand. The second assay (Assay 2) is a competition assay based on the same reagents as described in Assay 1. In this case, however, both labeled and unlabeled species of the soluble strand are present. Specifically, different concentrations of the unlabeled soluble strand are mixed with a fixed  
15 concentration of the labeled soluble strand and each mixture is allowed to react with the immobilized strand on a waveguide sensor. The formation of double-stranded DNA molecules is monitored using TIRF. Table 2 lists the reagents used in the two assays.

Assay I is a direct binding assay between two complementary oligonucleotides.  
20 The T3 RNA polymerase promoter site was chosen as a model system for our feasibility studies. The T3 promoter is a region spanning 20 bases with the following sequence: 5' AATTAACCCTCACTAAAGGG 3'. An oligonucleotide (T3 promoter) with this sequence was synthesized, biotinylated at the 5' end (via a spacer) and immobilized to waveguides (silica or polystyrene) coated with either avidin or  
25 stepavidin. A second nucleotide with a complementary sequence (anti Te) was also synthesized and labeled with Cy-5, a red-emitting fluorescent dye. Solutions with increasing tracer concentration were exposed to the waveguide and the fluorescence of bound tracer was plotted versus soluble tracer concentration. Assay II is a competitive binding assay in which unlabeled Anti T3 competes with Cy-5 labeled  
30 Anti T3 for binding to immobilized T3 promoter. In this case different concentrations

of unlabeled Anti T3 were mixed with a fixed concentration of labeled Anti T3 (tracer). The fluorescence of bound tracer was measured for each mixture and plotted versus unlabeled Anti T3 concentration.

Table 2. Oligonucleotides used in TIRF-based DNA hybridization Assays†

	<u>immobilized oligonucleotide</u>	<u>sample channel</u>	<u>reference channel</u>
Assay 1	Biotinylated T3 Promoter	1. Cy-5-labeled Anti T3 ( $1 \times 10^{-13}$ to $10^{-8}$ M)	1. Cy-5-labeled T3 Promoter ( $1 \times 10^{-13}$ to $10^{-8}$ M)
Assay 2	Biotinylated T3 Promoter	1. Cy-5-labeled Anti T3 ( $10^{-9}$ M) 2. Unlabeled Anti T3 ( $1 \times 10^{13}$ to $10^{-9}$ M)	1. Cy-5-labeled Anti T3 ( $10^{-9}$ M)

†Abbreviations: Cy-5, an amino-reactive red-emitting fluorescent dye produced by Biological Detection Systems (Pittsburgh, PA); T3 Promoter, the transcriptional promoter site of T3 RNA polymerase which consists of the sequence 5' AATTAACCCCTCACTAAAGGG 3'; Anti T3, oligonucleotide with a complementary sequence to the T3 promoter.

Assays are performed using the two-channel flowcell described in co-pending patent application serial no. 08/064,608. A "sample" solution containing the reagents described above is injected into one channel and a "reference" solution is injected into the other (see Table I for a description of sample and reference solutions employed in each assay). The reference solution is used to measure the degree of non-specific binding between the fluorescently-labeled oligonucleotide and the waveguide and also to correct for fluctuations in laser intensity that occurred during the course of an experiment. Each measurement begins by collecting the baseline fluorescence of PBS buffer in both the sample and reference channels. Starting with the most dilute analyte solution, 1 mL of the sample and reference solutions described in Table 2 are injected into the flowcell. The solutions are allowed to incubate with the waveguide surface for 5 minutes, followed by collection of 10 sec fluorescence images of both channels. This process is repeated several times until the most concentrated solution is assayed. All CCD images are collected without a wash step; i.e., with the fluorescent analyte filling the sample and reference channel volume. Binding curves are constructed from these data by taking the ratio of the intensity of the sample to that of the reference, and then plotting these ratios as a function of bulk analyte

concentration. See FIGS. 12 and 13. Such radiometric measurements compensate for three effects - nonspecific binding of the tracer, excitation of bulk fluorescence by light scattered off the surface of the waveguide and fluctuations in laser intensity.

#### 5      Example 5. Polystyrene Waveguide Experiment.

10      A polystyrene waveguide was coated with Avidin followed by incubation of the coated waveguide with a PBS buffer solution containing a biotinylated oligonucleotide (the 20 base anticomplement of the T3 promoter, sequence 5'-cc ttg agt gag ggt taa t-e'). Solutions of PBS buffer with varying concentrations of the CY5  
15      labeled T3 promoter oligonucleotide were also prepared. The flow cell was assembled with the coated waveguide and the lowest concentration CY5 labeled oligo solution was injected into the flow cell. CCD camera images were taken immediately following the injection and were continually taken at regular intervals to monitor binding kinetics. When image intensity ceased to increase significantly over time, a  
20      higher concentration solution of the CY5 labeled T3 promoter was injected into the flow cell. The previous two steps were repeated with successively higher solution concentrations. The kinetic data were normalized by subtracting out the baseline at the beginning of each injection. See FIGS. 14 and 16-28. Each Kinetic curve levels off with time to the equilibrium value. The equilibrium values are successively added to generate a total signal increase for a given concentration. These total signal  
25      increase values are used in the equilibrium binding isotherm plots. The standard binding equilibrium equation was used to curve fit the equations. The curve fits of the data were very good and the total fluorescence increase was very high indicating that these data show a specific between the anticomplementary pair of oligonucleotides.

#### 30      Example 6. Integrated Optic (IO) Waveguide Experiment.

30      This procedure was similar to the polystyrene experiment with two exceptions. Only one flow cell channel was used in the IO experiment (hence there is only on equilibrium binding curve for the IO experiment). Also, light was coupled into the

IO waveguide using a grating coupler rather than the lens coupler in the polystyrene waveguide. The results of example 6 are shown in FIGS. 15 and 25-29.

It will be apparent that details of the composite waveguide can be varied considerably without departing from the concept and scope of the invention. The claims alone define the scope of the invention as conceived and as described herein.

5

## THE CLAIMS

### What is claimed is:

1. A kit for performing specific binding assays with an optical unit including a light source positioned to direct light into an optical substrate and detection means oriented to detect light from a region proximal to the waveguide, which includes:  
5 a biosensor comprising:

a step gradient waveguide including a substrate formed of a first optical material of refractive index  $n_1$  and having a surface disposed adjacent and in contact with a waveguide film formed of a second optical material having a refractive index  $n_2$  which is greater than  $n_1$ ; and  
10 at least one specific binding molecule immobilized to said waveguide film and constructed to bind with specificity an analyte.

2. The kit of Claim 1, wherein said second optical material is selected from the group consisting of: silicon oxynitride of refractive index  $n_2$ , and deposited silicon dioxide; and said first optical material is selected from the group consisting of:  
15 deposited silicon dioxide, quartz or fused silica, silicon oxynitride of refractive index  $n_1$ , and magnesium fluoride.

3. The kit of Claim 2, wherein said waveguide film is configured as a plurality of parallel longitudinal strips of said second optical material spaced from one another along said surface and constituting a plurality of waveguide channels, and further having a plurality of different species of said specific binding molecules immobilized to said waveguide film, with each of said waveguide channels having a  
20 different one of said species immobilized thereto.

4. The kit of Claim 2, wherein said substrate surface has a grating formed thereon, said grating being constructed to facilitate coupling of light from an incident excitation beam into said waveguide film.  
25



5. The kit of Claim 1, wherein said waveguide film is coated with a coating which provides a level of nonspecific protein binding which is less than about 10% of the amount of specific binding of said analyte, said coating being selected from the group consisting of: polymethacryloyl polymer, polyethyleneglycol, and avidin; and wherein said capture molecules are immobilized to said waveguide film by binding to said coating.

6. The kit of Claim 1, wherein said waveguide is constructed by the steps of: providing a piece of the first optical material having a surface; vapor depositing the second optical material on said surface to a depth of between about 0.1  $\mu\text{m}$  and about 10  $\mu\text{m}$  to produce said waveguide film; coating at least one region of said waveguide layer with a resist compound which resists an etchant to produce a coated region and an uncoated region; and etching said waveguide layer with said etchant to remove said second optical material from said uncoated region.

7. The kit of Claim 6, wherein said second optical material is selected from the group consisting of: silicon oxynitride of refractive index  $n_2$ , and silicon dioxide; and said first optical material is selected from the group consisting of: deposited silicon dioxide, quartz or fused silica, silicon oxynitride of refractive index  $n_1$ , and magnesium fluoride.

8. The kit of Claim 6, in whose manufacture said step of coating at least one region with a resist comprises coating a plurality of parallel longitudinal strips along said surface with said resist thereby producing a plurality of waveguide channels, and wherein a plurality of different species of said specific binding molecules are immobilized to said waveguide film, with each of said waveguide channels having a different one of said species immobilized thereto.

9. The kit of Claim 8, whose construction further includes a step of etching a plurality of spaced grooves into said surface of said substrate prior to said step of depositing said waveguide layer, wherein said grooves are oriented substantially perpendicular to said waveguide channels, and spacing of said grooves is selected to serve as a grating facilitating efficient coupling of light from an incident excitation beam into said sensor strips.

10. The kit of Claim 1, wherein said second optical material is silicon oxynitride having an elemental ratio of approximately  $\text{Si}_2\text{O}_3\text{N}$ .

11. The kit of Claim 1, wherein said step gradient waveguide further includes a waveguide coupler contactingly disposed on said waveguide film, said waveguide coupler comprising:

an input waveguide formed of an optical material having a refractive index  $n_3$ , and having a thickness which is between about 0.5 mm and about 5 mm; and a spacing layer formed of an optical material having a refractive index  $n_4$ , wherein  $n_4 < n_3$  and  $n_4 < n_2$ , and having a thickness selected to optimize the evanescent coupling of light from said input waveguide into said waveguide film.

12. Apparatus for performing evanescent immunofluorescence assays, including:

a composite waveguide comprising:

a substrate formed of a first optical material of refractive index  $n_1$  and having two parallel planar surfaces separated by a thickness and a surrounding edge, said thickness being between about 1  $\mu\text{m}$  and about 10 mm, and a waveguide film formed of a second optical material having a refractive index  $n_2$  which is greater than  $n_1$  and a thickness which is between about 0.1  $\mu\text{m}$  and about 10  $\mu\text{m}$ ;

a light source operably disposed to aim a beam into said composite waveguide for propagation by total internal reflection therein;  
light coupling means operably associated with said composite waveguide for facilitating coupling of said light beam thereinto;  
5 light collection means positioned to collect light that impinges on a plane spaced from said planar surfaces; and  
detection means operably disposed with respect to said light collection means for detecting said collected light.

10 13. The apparatus of Claim 12, wherein said first and second optical materials are mutually selected from the group of pairwise combinations consisting of:  
deposited silicon dioxide/silicon oxynitride; quartz or fused silica/silicon oxynitride;  
silicon oxynitride of refractive index  $n_1$ /silicon oxynitride of refractive index  $n_2$ ; and  
magnesium fluoride/deposited silicon dioxide.

15 14. The apparatus of Claim 12, wherein said light coupling means is a waveguide coupler contactingly disposed on said waveguide film, and comprising:  
an input waveguide formed of an optical material having a refractive index  $n_3$ , and  
having a thickness which is between about 0.5 mm and about 5 mm; and  
20 a spacing layer formed of an optical material having a refractive index  $n_4$ , wherein  
 $n_4 < n_2$  and  $n_4 < n_3$ , and having a thickness selected to optimize the evanescent coupling of light from said input waveguide into said waveguide film.

25 15. The apparatus of Claim 13, wherein said waveguide film is constructed to have propagation losses in air of less than about 1 dB/cm.

16. An optical structure for performing specific binding assays with an optical unit comprising a light source positioned to direct light into the waveguide for

propagation by total internal reflectance therein and detection means oriented to detect light from a region proximal to the optical structure, said optical structure comprising: a substrate comprising a first optical material of refractive index  $n_1$  and having two parallel planar surfaces separated by a thickness and a surrounding edge, said thickness being between about 0.3  $\mu\text{m}$  and about 10 mm; a waveguide film of a second optical material of refractive index  $n_2$  in operable contact with at least a portion of one of said surfaces, said waveguide film having a thickness which is between about 0.3  $\mu\text{m}$  and about 5  $\mu\text{m}$ ; and coupling means integrally contacting said waveguide film for coupling light thereinto.

17. The optical structure of Claim 16, wherein said second optical material is selected from the group consisting of: silicon oxynitride of refractive index  $n_2$  and silicon dioxide; and said first optical material is selected from the group consisting of: pure silicon dioxide, quartz or fused silica, silicon oxynitride of refractive index  $n_1$ , and magnesium fluoride.

18. The optical structure of Claim 17, wherein said coupling means is selected from the group consisting of: an optical grating formed of said first material; an optical grating formed of said second material; and a waveguide coupler integrally mounted on said waveguide film, said waveguide coupler comprising an input waveguide constructed to receive light through an edge and to propagate the received light by total internal reflection, and a spacing layer interposed between said input waveguide and said waveguide film and having a thickness selected to optimize the evanescent coupling of light from said input waveguide into said waveguide film.

19. The optical structure of Claim 16, wherein said first optical material is quartz, fused silica or deposited  $\text{SiO}_2$ , said coupling means is said waveguide coupler, and wherein said input waveguide is formed of an optical material selected from the group consisting of: rutile, zirconia, and high-index glass; and wherein said spacing

layer is formed of silicon dioxide and has a thickness of between about 0.1  $\mu\text{m}$  and about 5  $\mu\text{m}$ .

20. The optical structure of Claim 16, wherein said waveguide film is configured as plurality of strips of said second optical material adhered to one of said surfaces in a spaced parallel array.

21. The optical structure of Claim 16, which further includes a plurality of sample wells formed thereon, said sample wells formed by the steps of:  
epitaxially depositing an outer layer of refractive index  $n_1$  upon said waveguide film;  
applying a resist compound to a plurality of outlines which define said sample wells while leaving areas within and without the outlines uncoated; and  
removing said outer layer by etching to expose said waveguide film in said uncoated areas.

22. A method of making a waveguide biosensor for performing specific binding assays with an optical unit including a light source positioned to direct light into the optical structure for propagation by total internal reflectance therein and detection means oriented to detect light from a region proximal to the optical structure, said optical structure constructed by the steps of:  
providing a substrate comprising a first optical material of refractive index  $n_1$  and having two parallel planar surfaces separated by a thickness and a surrounding edge;  
depositing a waveguide layer of a second optical material having a refractive index  $n_2$  on one of said surfaces, said waveguide layer having a thickness which is between about 0.1  $\mu\text{m}$  and about 10  $\mu\text{m}$  and  $n_2$  being greater than  $n_1$ ;  
coating at least one region of said waveguide layer with a resist compound which resists an etchant to produce a coated region and an uncoated region;  
etching said waveguide layer with said etchant to remove said second material from the uncoated region;

removing the resist compound from the etched waveguide to expose the coated region;  
and

immobilizing a plurality of capture molecules to said exposed coated region, said  
capture molecules being constructed to bind with specificity a selected analyte  
molecule.

23. The method of Claim 22, further including a step of coating said exposed  
coated region with a coating which provides a level of nonspecific protein binding  
which is less than about 10% of the amount of specific binding of said analyte, said  
coating being selected from the group consisting of: polymethacryloyl polymer,  
polyethyleneglycol, and avidin; and wherein in said step of immobilizing capture  
molecules, said capture molecules are bound to said coating.

24. The method of Claim 23, wherein said second optical material is selected  
from the group consisting of: silicon oxynitride of refractive index  $n_2$ , and deposited  
silicon dioxide; and said first optical material is selected from the group consisting of:  
deposited silicon dioxide, quartz or fused silica, silicon oxynitride of refractive index  
 $n_1$ , and magnesium fluoride.

25. An immunofluorescence assay, comprising the steps of:  
providing a waveguide which is optically conductive and which has at least one  
surface having a plurality of capture molecules site-specifically immobilized  
thereon, said capture molecules having a binding site which selectively binds a  
selected analyte;  
providing a light source operable to emit a light beam in a desired wavelength range  
and positioned to send light into the waveguide;  
providing detection means operably disposed for detecting fluorescence emitted from  
the biosensor;  
providing a sample comprising a buffer and a plurality of molecules of a selected  
analyte;

providing a plurality of tracer molecules which are operable to emit fluorescence in  
response to stimulation by light from the light source;  
combining the sample with the tracer molecules to produce a test solution;  
placing the test solution in contact with the waveguide surface while operating said  
5 light source to direct light into the waveguide; and  
selectively detecting fluorescent light emitted from the tracer molecules.

26. The assay of Claim 25, wherein said step of providing a waveguide  
with site-specifically immobilized capture molecules includes the steps of:  
10 coating the waveguide surface with a first coating to produce a coated surface;  
providing a plurality of capture molecules;  
modifying a single moiety which is the same on each capture molecule, to produce  
activated capture molecules having a modified moiety constructed to be  
coupled to the first coating; and  
15 treating the coated surface with the activated capture molecules under conditions to  
cause the modified moiety to couple to the first coating and thereby immobilize  
the activated capture molecules to the waveguide surface.

27. The assay of Claim 25, wherein said first coating is selected from the  
20 group consisting of: avidin, a hydrogel formed of polymethacryloyl polymers, and a  
modified polyethylene glycol.

28. The immunofluorescence assay according to Claim 25, wherein an  
oligonucleotide primer, complementary to said analyte is immobilized to said  
25 waveguide by amine-reactive, thiol-reactive, or (strep) avidin-biotin coupling  
chemistry.

29. The immunofluorescence assay according to Claim 25, wherein said  
tracer molecules are complementary to another sequence of said analyte.

## ABSTRACT

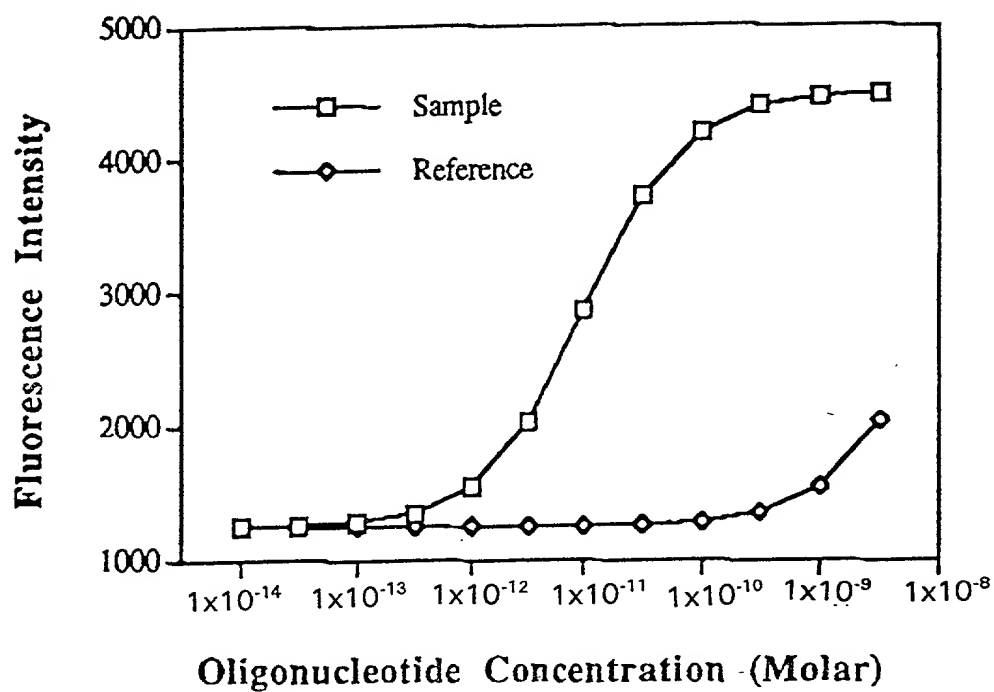
A step-gradient composite waveguide for evanescent sensing in fluorescent binding assays comprises a thick substrate layer having one or more thin film waveguide channels deposited thereon. In one embodiment, the substrate is silicon dioxide and the thin film is silicon oxynitride. Specific binding molecules having the property of binding with specificity to an analyte are immobilized on the surface of the thin film channels. In preferred embodiments, the composite waveguide further includes light input coupling means integrally adapted to the thin film channels. Such light coupling means can be a grating etched into the substrate prior to deposition of the thin film, or a waveguide coupler affixed to the upper surface of the thin film. The waveguide coupler has a thick input waveguide of high refractive index which receives the laser light through one end and propagates it by total internal reflection. The propagated light is then coupled evanescently into the thin film waveguide across a spacer layer of precise thickness and having an index of refraction lower than either the input waveguide or the thin-film waveguide. The composite waveguide can be constructed by plasma vapor deposition of silicon oxynitride onto the silicon dioxide substrate, masking the channel waveguides with a photoresist, and using reactive ion etching to expose the substrate in the unmasked regions.

N:\0274\2978\2978US.PAT 08/28/96



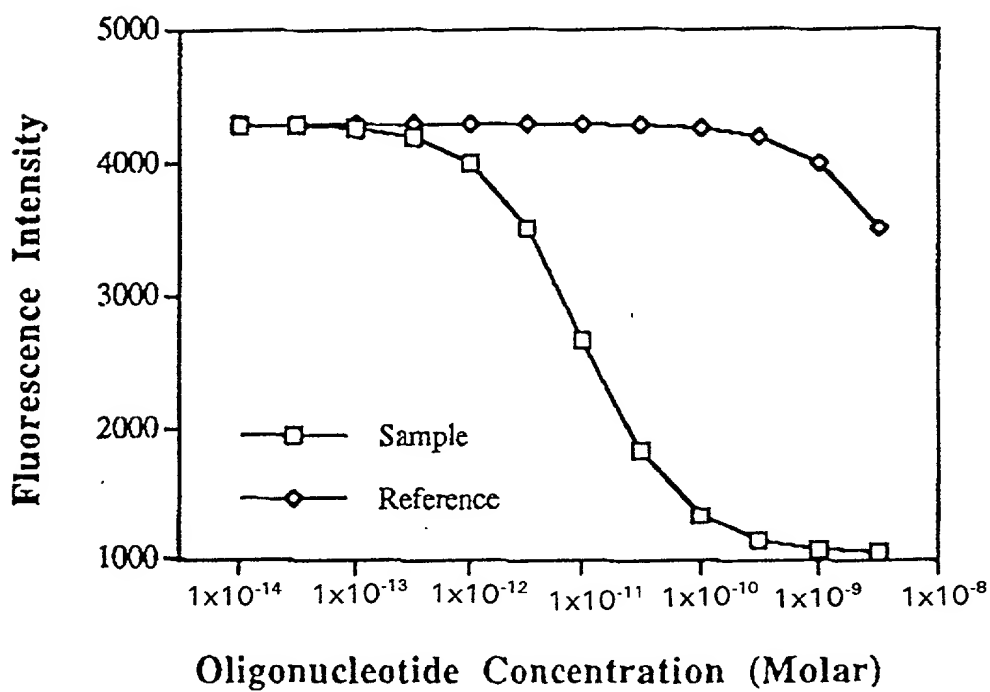
Assay I

FIG. 12



Assay II

FIG. 13



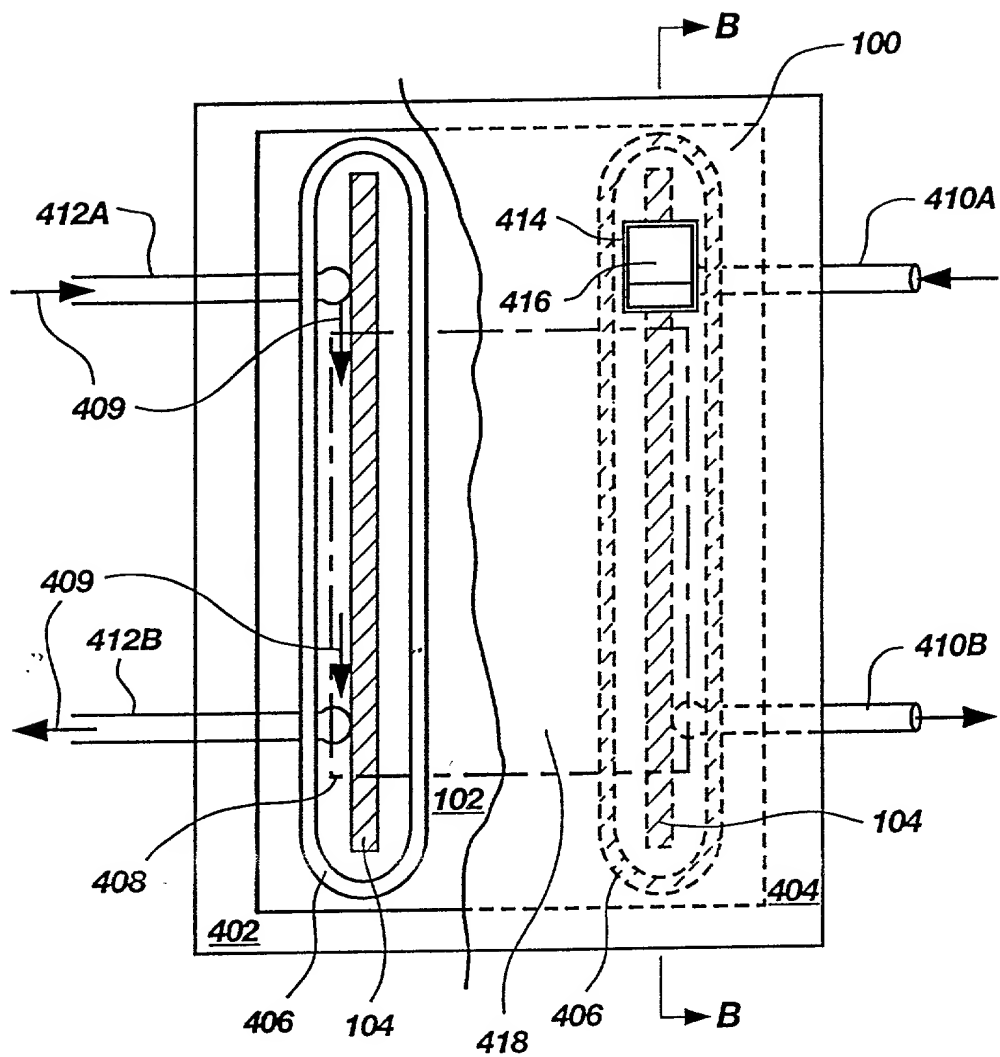


Fig. 4A

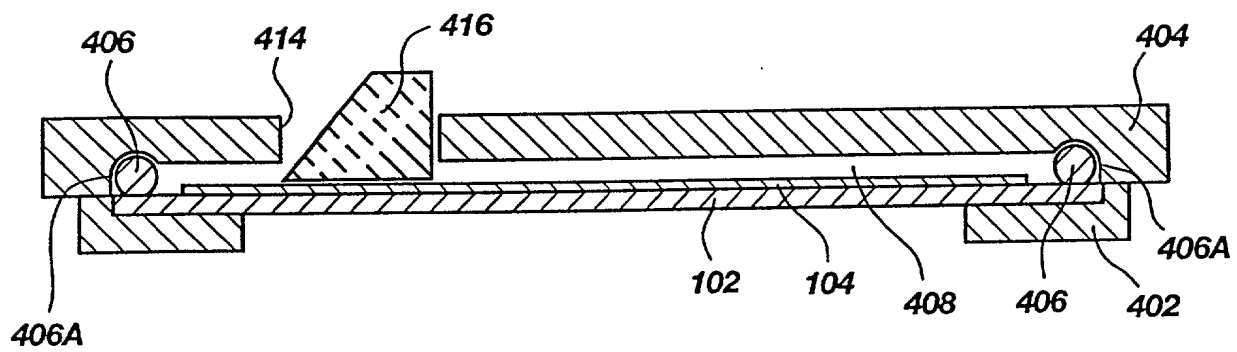


Fig. 4B

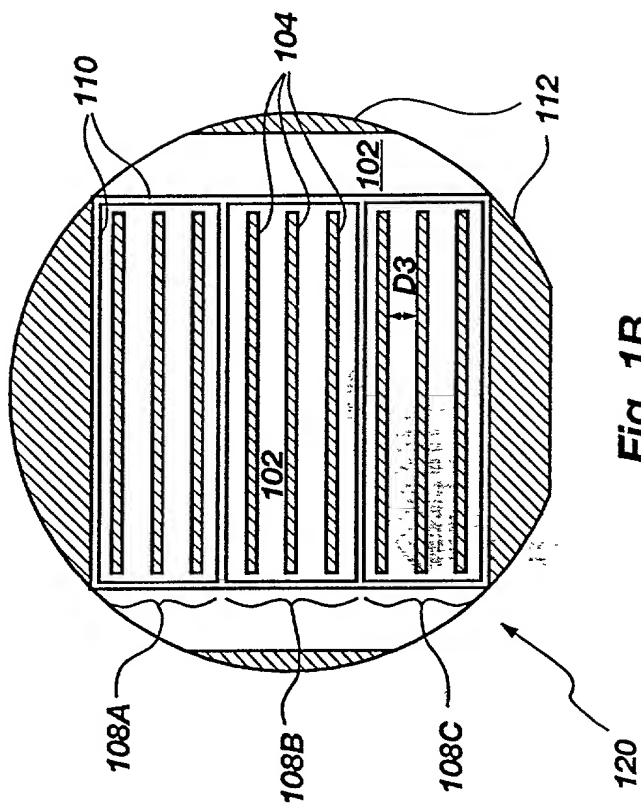


Fig. 1B

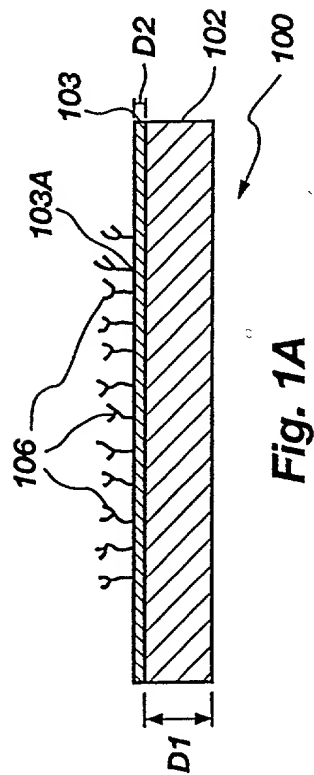


Fig. 1A

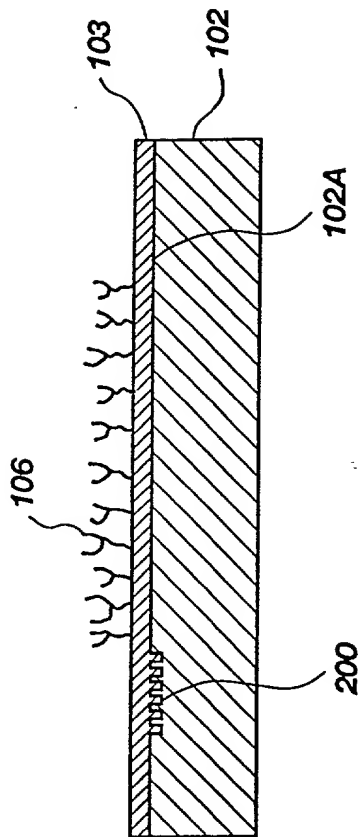


Fig. 2A

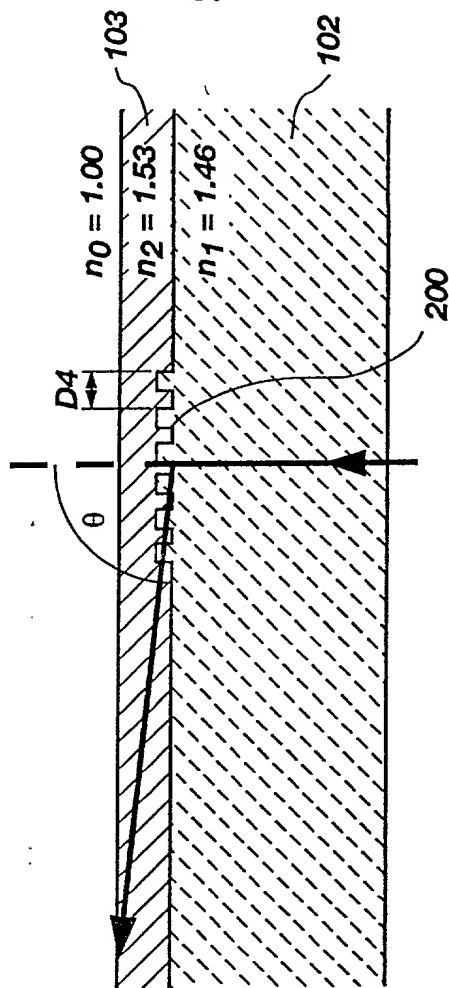
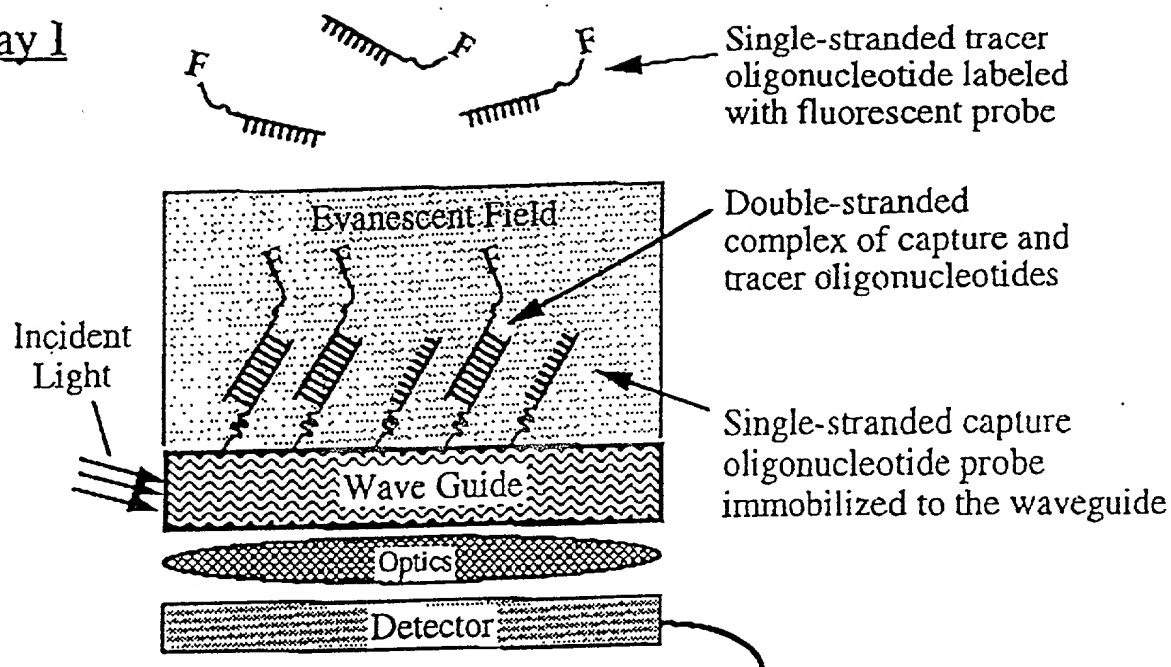


Fig. 2B

FIG. 10

# Assay I



# Assay II

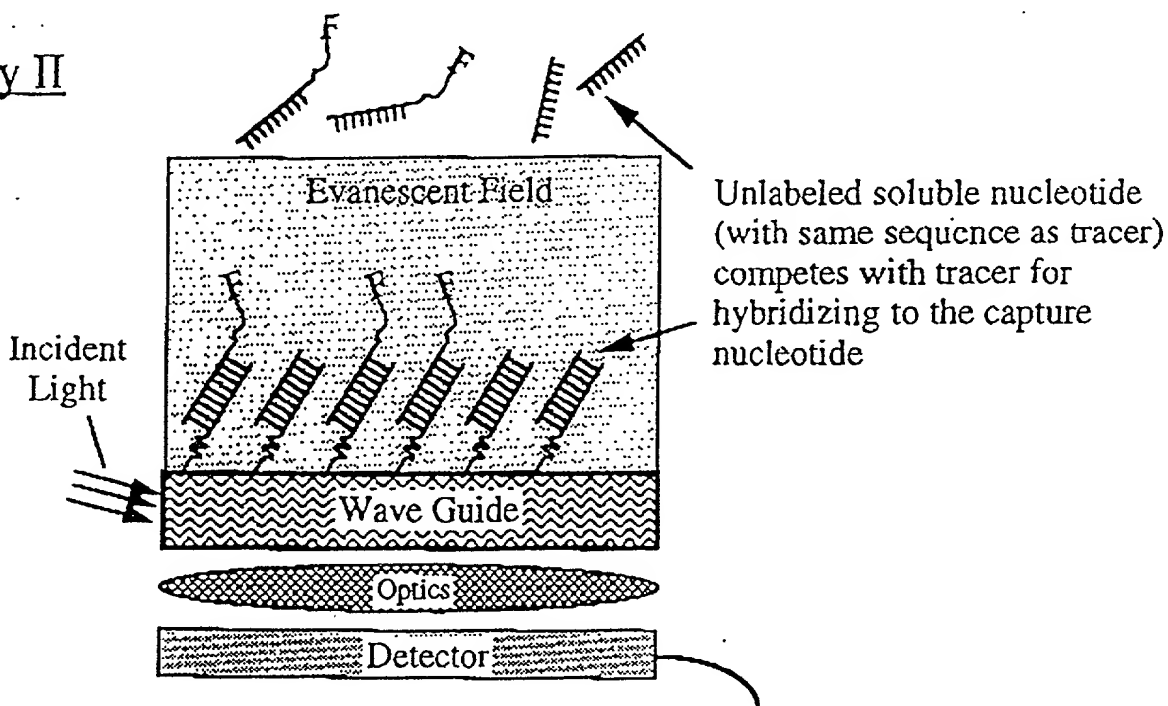


FIG. 11

FIG. 8

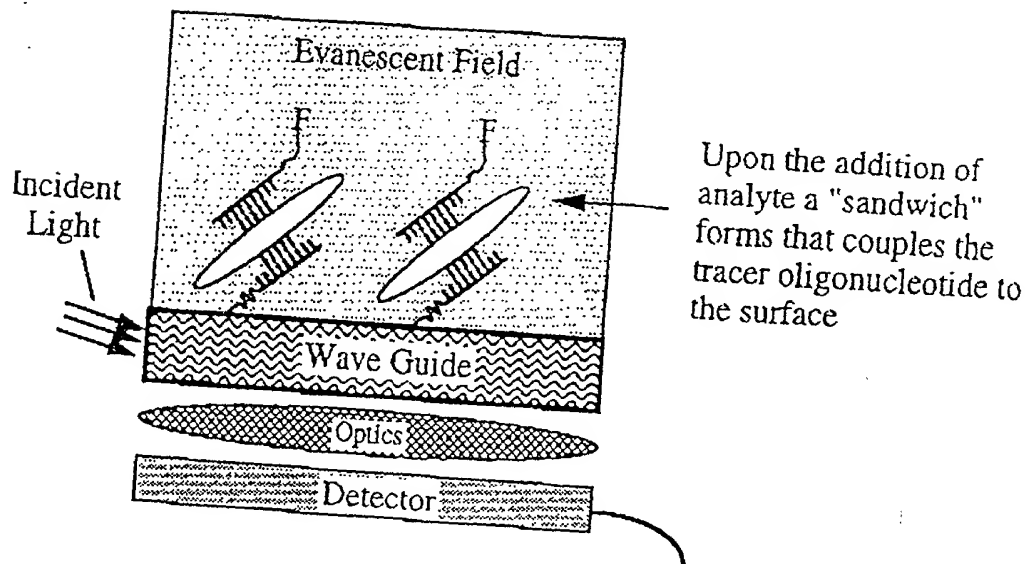
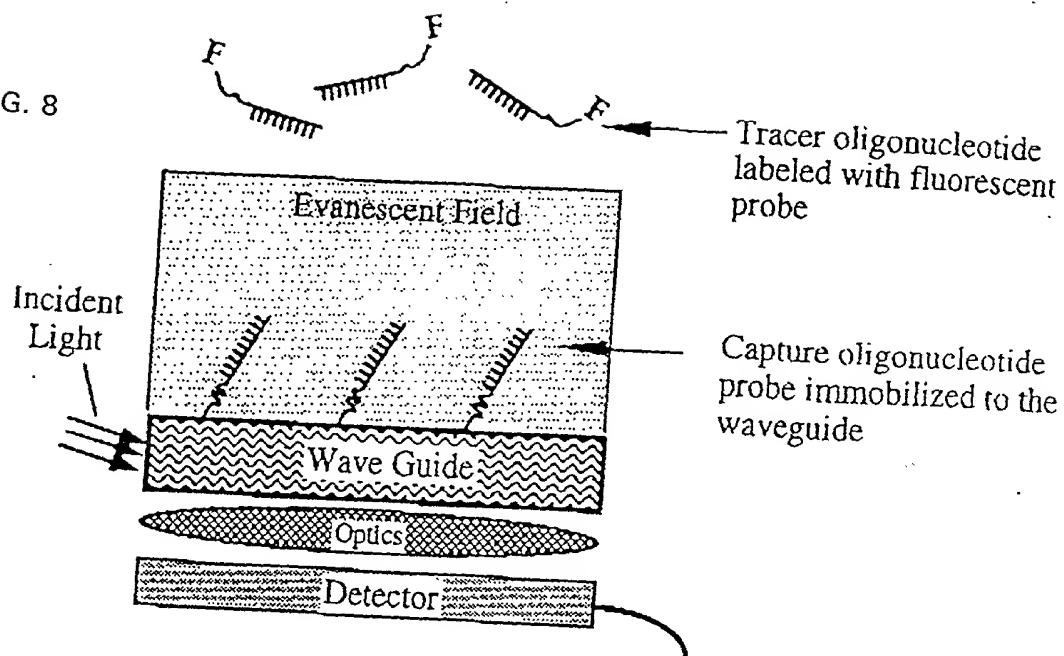


FIG. 9

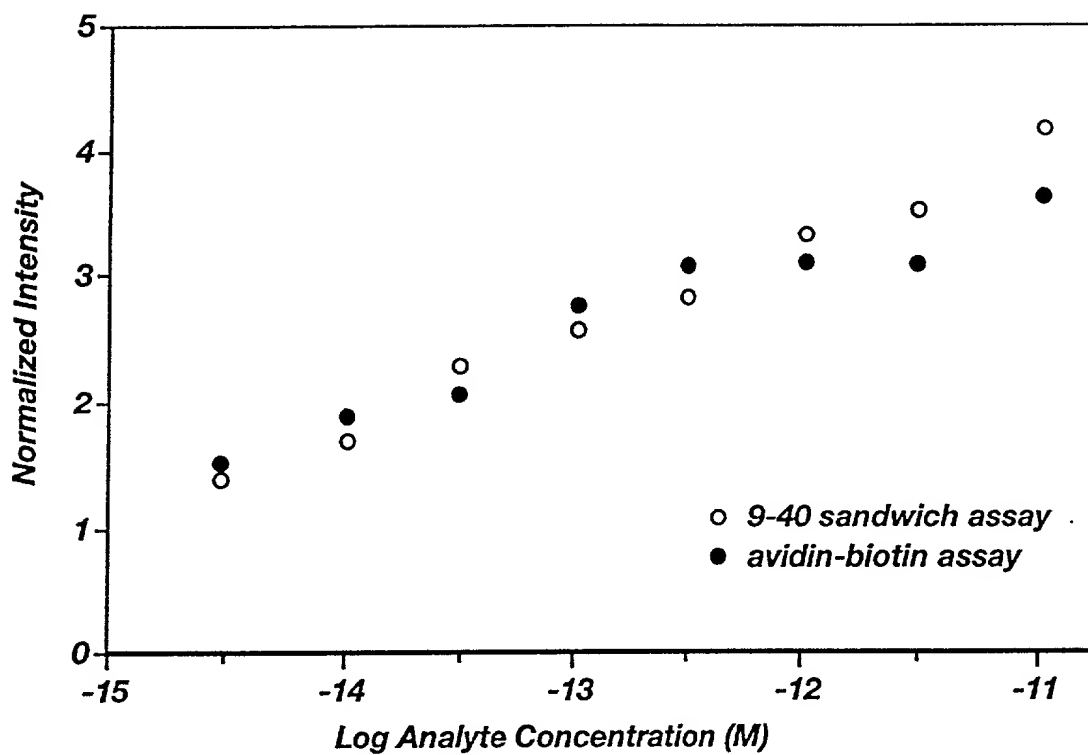


Fig. 6A

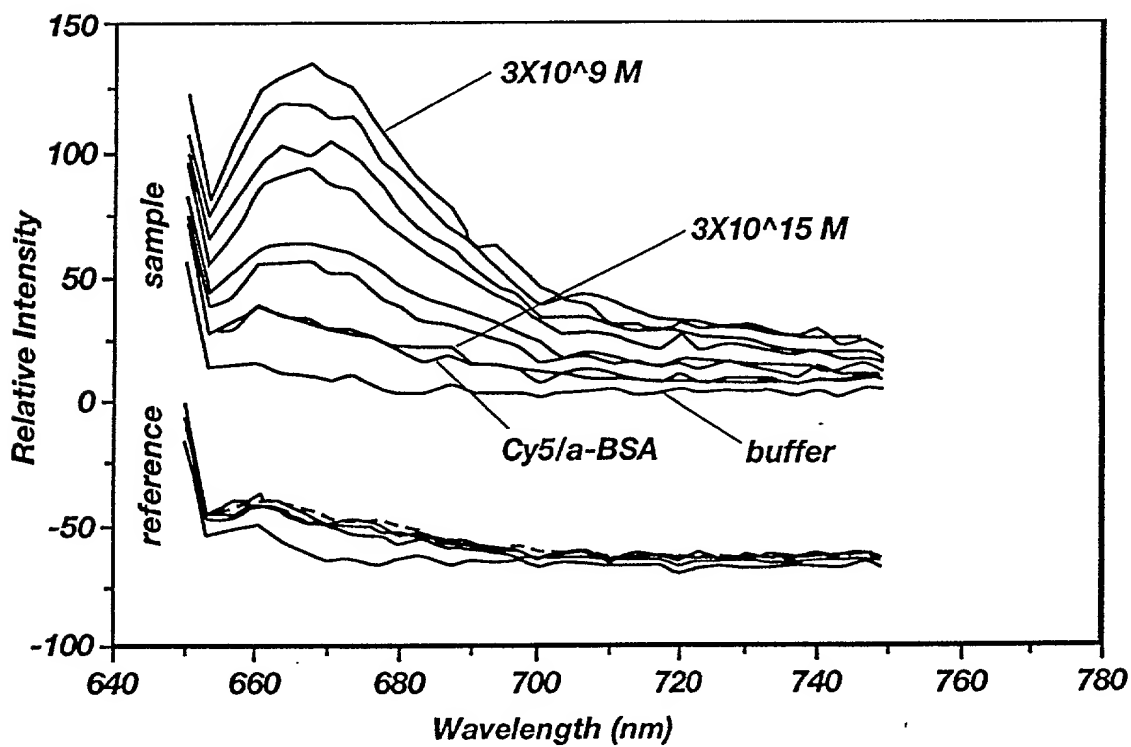


Fig. 6B

INCIDENT  
LASER LIGHT

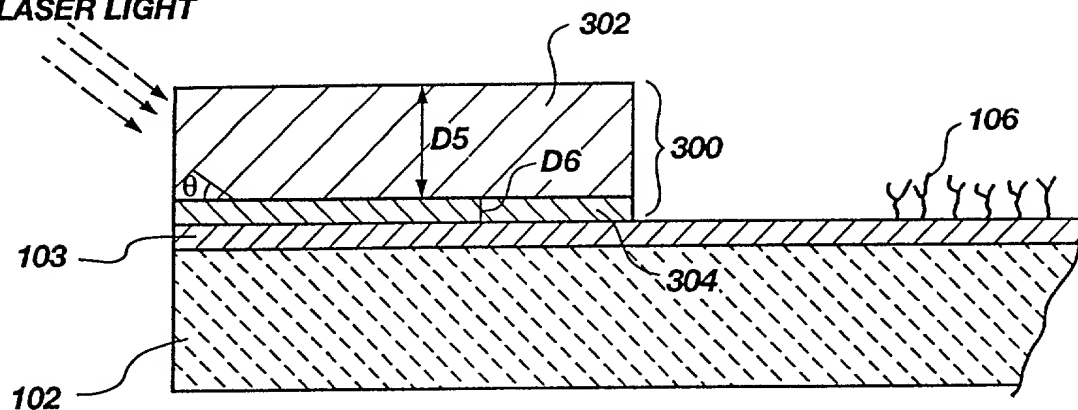


Fig. 3A

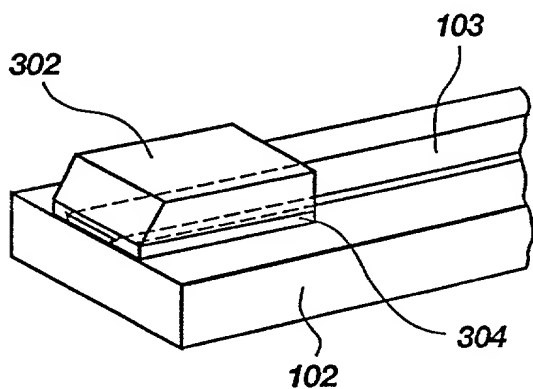


Fig. 3B

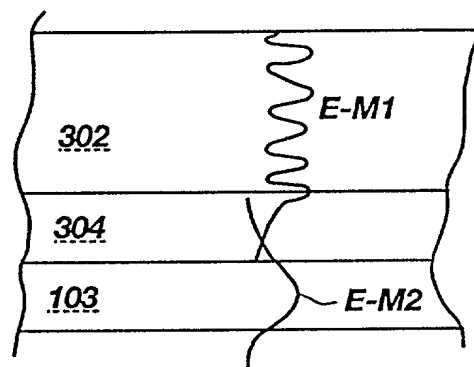


Fig. 3C

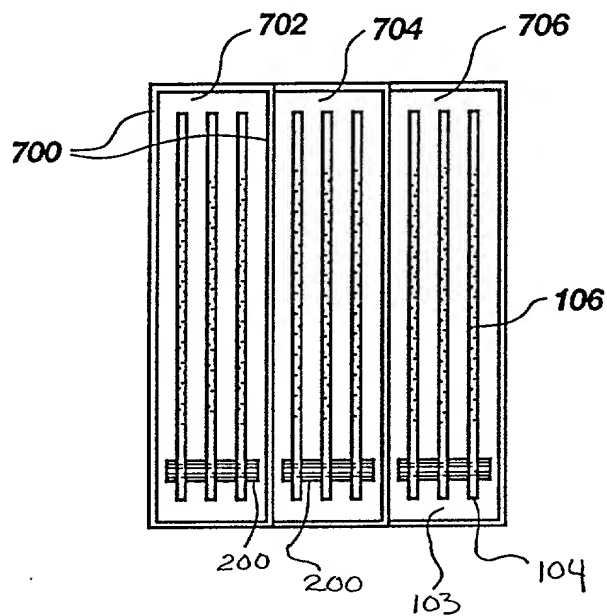


Fig. 7

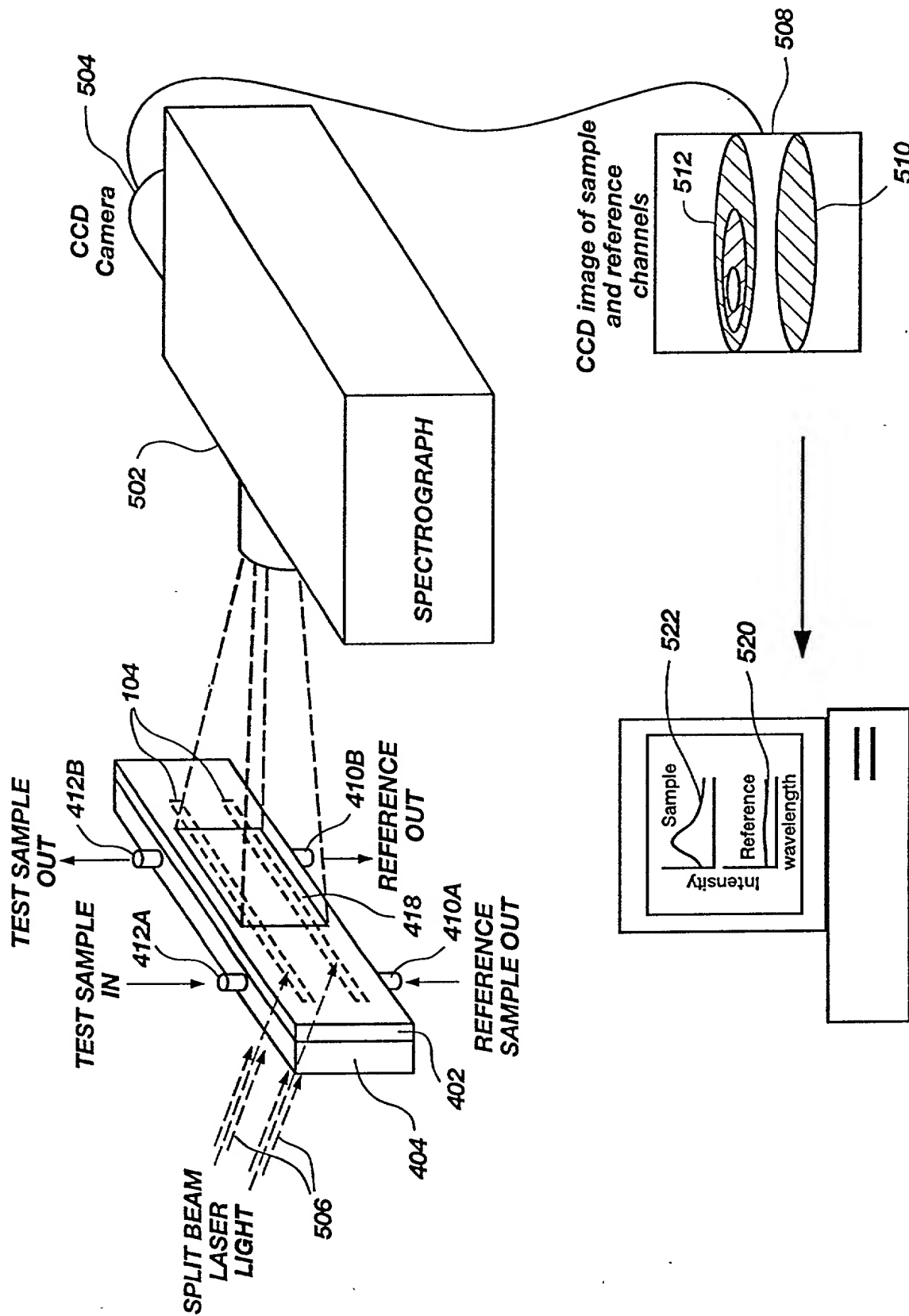


Fig. 5



FIG. 14

Equilibrium Binding Isotherm of CY5-Labeled  
Oligonucleotide with Surface Bound  
Anticomplement on Polystyrene Waveguide  
(Curve Fit Shown)

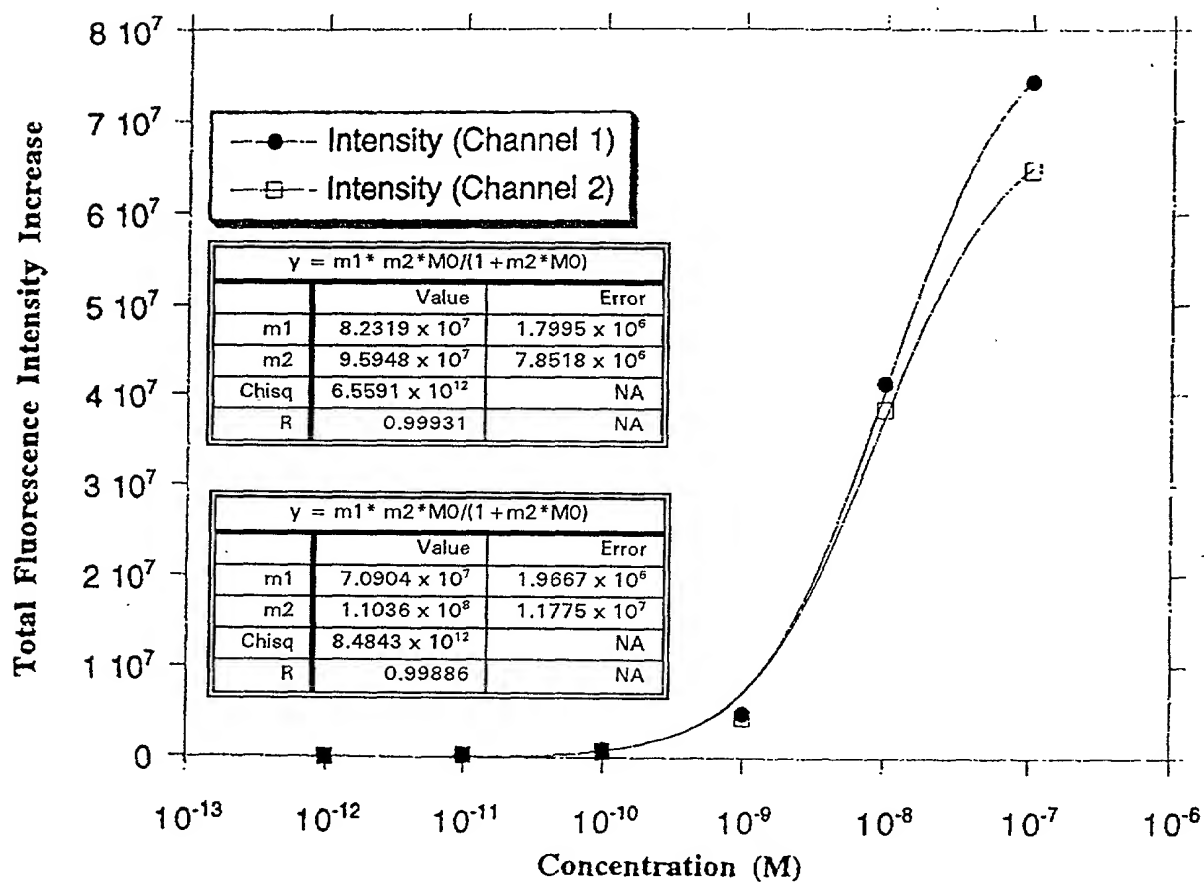


FIG. 15

Equilibrium Binding Isotherm of CY5-Labeled  
Oligonucleotide with Surface Bound Anticcompliment  
on Intigrated Optic Waveguide  
(Curve Fit Shown)

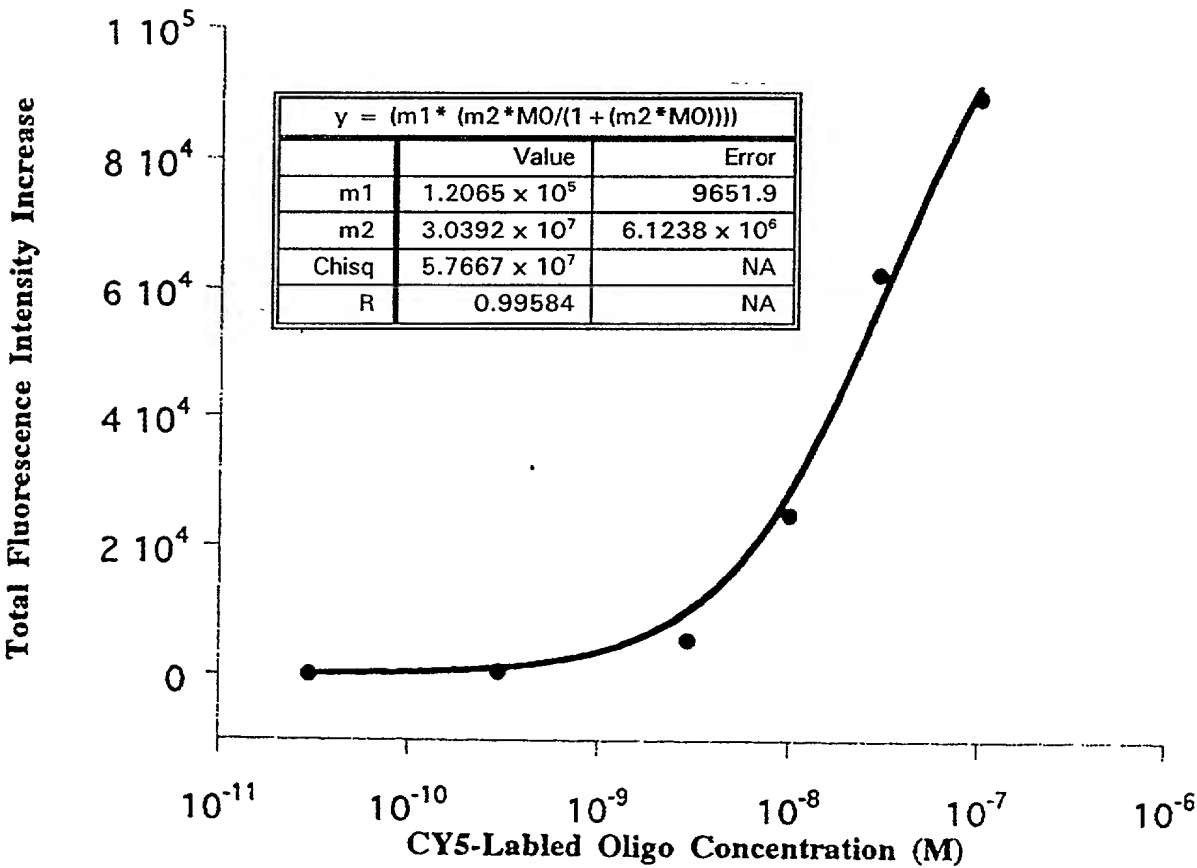
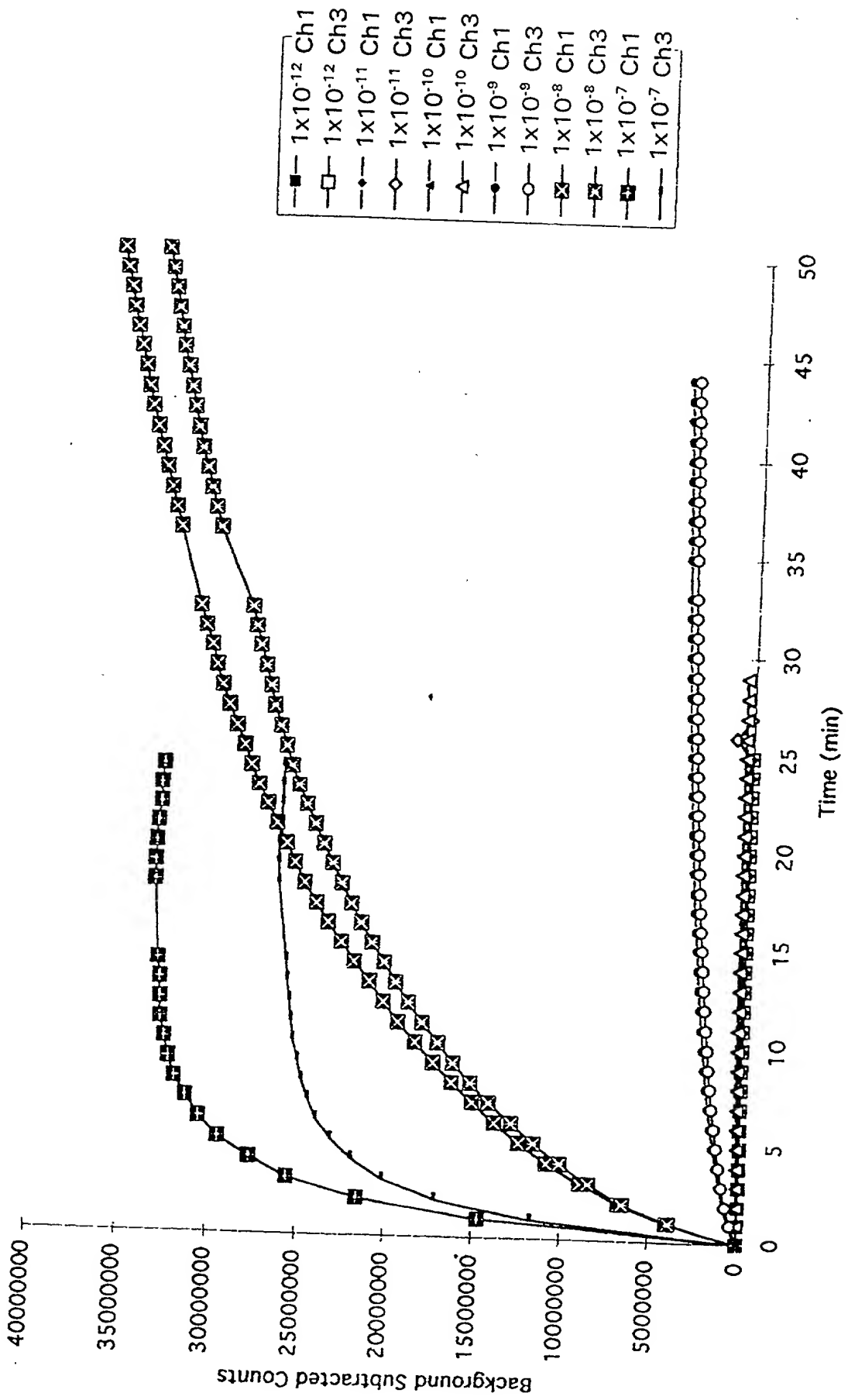


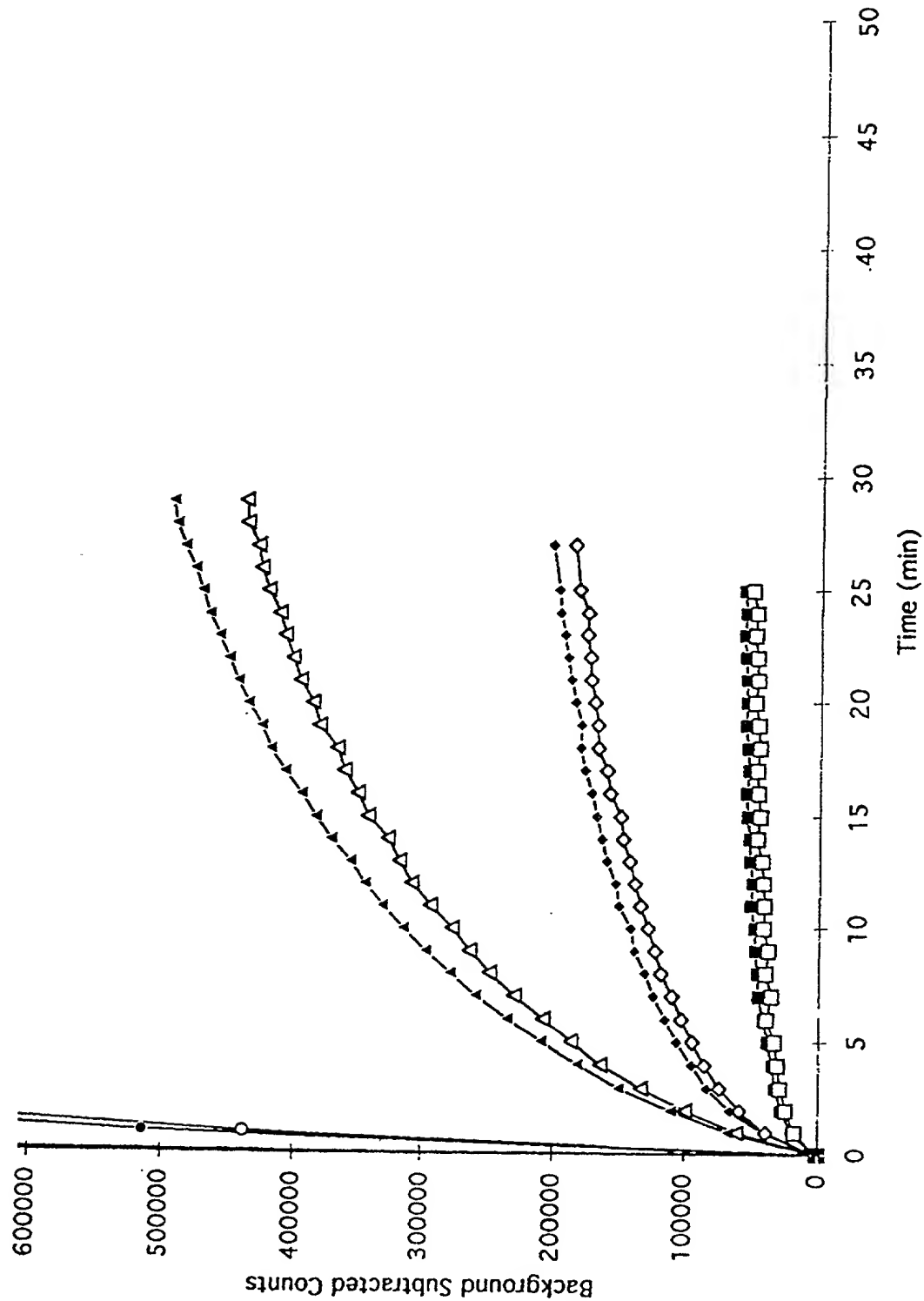
FIG. 16

Polystyrene oligo assay T60

Kinetics of Increasing Oligo Tracer Concentration (on one polystyrene WG)



Kinetics of Increasing Oligo Tracer Concentration (on one WG)



## Polystyrene oligo assay

FIG. 17

	B	C	D	E	F	G	H
1		$1 \times 10^{-12}$ M					
2							
3		Raw Fluorescence Kinetic Data		Background Subtracted Kinetic Data			
4	time (min)	Ch1		Ch3	$1 \times 10^{-12}$ Ch1		$1 \times 10^{-12}$ Ch3
5	0	1031980		947053	0		0
6	1	1051720		964657	19740		17604
7	2	1059810		971060	27830		24007
8	3	1064300		975759	32320		28706
9	4	1066790		977556	34810		30503
10	5	1070240		979930	38260		32877
11	6	1073240		985923	41260		38870
12	7	1077290		982526	45310		35473
13	8	1077920		986607	45940		39554
14	9	1079540		984734	47560		37681
15	10	1080120		988538	48140		41485
16	11	1083400		988133	51420		41080
17	12	1081750		988906	49770		41853
18	13	1083850		990135	51870		43082
19	14	1084520		993928	52540		46875
20	15	1086060		991629	54080		44576
21	16	1087080		993243	55100		46190
22	17	1085270		994081	53290		47028
23	18	1086270		992415	54290		45362
24	19	1087740		993538	55760		46485
25	20	1087370		995980	55390		48927
26	21	1087260		994168	55280		47115
27	22	1087940		995014	55960		47961
28	23	1089060		996124	57080		49071
29	24	1088160		995082	56180		48029
30	25	1089260		997941	57280		50888

## Polystyrene oligo assay

FIG. 18

	K	L	M	N	O	P	Q
1		$1 \times 10^{-11}$ M					
2							
3		Raw Fluorescence Kinetic Data			Background Subtracted Kinetic Data		
4	time (min)	Ch1		Ch3	$1 \times 10^{-11}$ Ch1		$1 \times 10^{-11}$ Ch3
5	0	1112100		1013190	0		0
6	1	1152800		1051900	40700		38710
7	2	1177670		1071660	65570		58470
8	3	1195110		1086710	83010		73520
9	4	1206770		1098220	94670		85030
10	5	1218050		1107530	105950		94340
11	6	1226500		1115620	114400		102430
12	7	1235640		1122820	123540		109630
13	8	1242310		1131140	130210		117950
14	9	1250250		1135680	138150		122490
15	10	1253080		1140810	140980		127620
16	11	1262270		1146620	150170		133430
17	12	1264930		1151130	152830		137940
18	13	1271750		1155150	159650		141960
19	14	1275570		1160520	163470		147330
20	15	1279790		1162120	167690		148930
21	16	1283360		1170450	171260		157260
22	17	1289100		1172750	177000		159560
23	18	1292270		1180160	180170		166970
24	19	1292130		1180470	180030		167280
25	20	1296600		1182910	184500		169720
26	21	1300090		1185730	187990		172540
27	22	1302750		1186670	190650		173480
28	23	1304940		1189090	192840		175900
29	24	1308560		1188140	196460		174950
30	25	1309440		1195230	197340		182040
31	26	2002360		1980930	890260		967740
32	27	1314400		1198680	202300		185490

## Polystyrene oligo assay

FIG. 19

	T	U	V	W	X	Y	Z
1		$1 \times 10^{-10}$ M					
2							
3		Raw Fluorescence Kinetic Data			Background Subtracted Kinetic Data		
4	time (min)	Ch1		Ch3	$1 \times 10^{-10}$ Ch1		$1 \times 10^{-10}$ Ch3
5	0	1432650		1312580	0		0
6	1	1500170		1373250	67520		60670
7	2	1542830		1411670	110180		99090
8	3	1582310		1444560	149660		131980
9	4	1614050		1476000	181400		163420
10	5	1641770		1498540	209120		185960
11	6	1666940		1520160	234290		207580
12	7	1691120		1541210	258470		228630
13	8	1710740		1560130	278090		247550
14	9	1730010		1575870	297360		263290
15	10	1747540		1589050	314890		276470
16	11	1763960		1605980	331310		293400
17	12	1777990		1620430	345340		307850
18	13	1789310		1630300	356660		317720
19	14	1804540		1639820	371890		327240
20	15	1816140		1655440	383490		342860
21	16	1827680		1663840	395030		351260
22	17	1840680		1674570	408030		361990
23	18	1851760		1680090	419110		367510
24	19	1858720		1693450	426070		380870
25	20	1869390		1699100	436740		386520
26	21	1877230		1708640	444580		396060
27	22	1884240		1714860	451590		402280
28	23	1891760		1720530	459110		407950
29	24	1899320		1725140	466670		412560
30	25	1904700		1733780	472050		421200
31	26	1910260		1739570	477610		426990
32	27	1917760		1741990	485110		429410
33	28	1924070		1750590	491420		438010
34	29	1926800		1751600	494150		439020

	AC	AD	AE	AF	AG	AH	AI
1		1x10 <sup>-9</sup> M					
2							
3		Raw Fluorescence Kinetic Data			Background Subtracted Kinetic Data		
4	time (min)	Ch1		Ch3	1x10 <sup>-9</sup> Ch1		1x10 <sup>-9</sup> Ch3
5	0	2277600		2066020	0		0
6	1	2791580		2504350	513980		438330
7	2	3116840		2792860	839240		726840
8	3	3377790		3021480	1100190		955460
9	4	3593810		3217180	1316210		1151160
10	5	3782480		3389790	1504880		1323770
11	6	3954890		3544790	1677290		1478770
12	7	4107890		3684630	1830290		1618610
13	8	4254390		3819870	1976790		1753850
14	9	4384410		3940160	2106810		1874140
15	10	4503520		4046970	2225920		1980950
16	11	4617170		4155710	2339570		2089690
17	12	4720460		4250340	2442860		2184320
18	13	4825950		4345730	2548350		2279710
19	14	4916650		4431590	2639050		2365570
20	15	5012020		4517220	2734420		2451200
21	16	5101450		4600800	2823850		2534780
22	17	5184010		4676650	2906410		2610630
23	18	5258160		4747450	2980560		2681430
24	19	5331160		4812870	3053560		2746850
25	20	5403100		4876800	3125500		2810780
26	21	5469290		4940820	3191690		2874800
27	22	5527850		4999840	3250250		2933820
28	23	5590790		5054530	3313190		2988510
29	24	5645270		5109750	3367670		3043730
30	25	5700390		5159770	3422790		3093750
31		5752500		5207200	3474900		3141180
32		5799990		5254210	3522390		3188190
33		5849310		5295550	3571710		3229530
34		5894420		5337760	3616820		3271740
35		5931460		5374030	3653860		3308010
36		5973550		5412550	3695950		3346530
37		6010260		5451210	3732660		3385190
38		6044600		5482710	3767000		3416690
39		0		0			
40		6116470		5550920	3838870		3484900
41		6147630		5578310	3870030		3512290
42		6174870		5608720	3897270		3542700
43		6204650		5636190	3927050		3570170
44		6231100		5654760	3953500		3588740
45		6250750		5682210	3973150		3616190
46		6271150		5699130	3993550		3633110
47		6293540		5723860	4015940		3657840
48		6307640		5731930	4030040		3665910
49		6330810		5752080	4053210		3686060



Polystyrene oligo assay

FIG. 21

	AL	<del>AM</del> AD	AN	<del>AO</del> AF	<del>AP</del> AG	AQ	<del>AR</del> AI
50		21973900		20388700	35244420		32889720
51		22108900		20474300	35514420		33060920
52		22225000		20568500	35746620		33249320
53		22324000		20659300	35944620		33430920
54		22442200		20773700	36181020		33659720
55		22524700		20894600	36346020		33901520

SECRET - REF ID: A66071

## Polystyrene oligo assay

FIG. 22

	AL	AM	AN	AO	AP	AQ	AR
1		1x10 <sup>-8</sup> M					
2							
3		Raw Fluorescence Kinetic Data			Background Subtracted Kinetic Data		
4	time (min)	Ch1		Ch3	1x10 <sup>-8</sup> Ch1		1x10 <sup>-8</sup> Ch3
5	0	8703380		7887680	0		0
6	1	12702700		11737900	3999320		3850220
7	2	15420600		14403300	6717220		6515620
8	3	17653400		16383800	8950020		8496120
9	4	19565100		17999500	10861720		10111820
10	5	21173800		19524900	12470420		11637220
11	6	22610500		20827400	13907120		12939720
12	7	23890100		22128500	15186720		14240820
13	8	25099600		23241100	16396220		15353420
14	9	26178400		24236400	17475020		16348720
15	10	27228700		25135700	18525320		17248020
16	11	28247800		26050500	19544420		18162820
17	12	29125600		26871000	20422220		18983320
18	13	29933500		27640300	21230120		19752620
19	14	30841700		28312900	22138320		20425220
20	15	31585800		29031300	22882420		21143620
21	16	32377400		29684100	23674020		21796420
22	17	33057900		30278200	24354520		22390520
23	18	33764700		30843200	25061320		22955520
24	19	34358100		31395300	25654720		23507620
25	20	34882300		31916400	26178920		24028720
26	21	35476100		32442900	26772720		24555220
27	22	36033800		32959400	27330420		25071720
28	23	36568900		33453700	27865520		25566020
29	24	37028500		33900500	28325120		26012820
30	25	37445200		34258400	28741820		26370720
31		37891100		34633600	29187720		26745920
32		38356200		35029500	29652820		27141820
33		38764900		35280900	30061520		27393220
34		39118800		35568000	30415420		27680320
35		39418600		35916200	30715220		28028520
36		39815000		36187200	31111620		28299520
37		40140900		36442000	31437520		28554320
38		0		0			
39		0		0			
40		0		0			
41		20710200		19168700	32717020		30449720
42		20866700		19328900	33030020		30770120
43		21014600		19483400	33325820		31079120
44		21168200		19624400	33633020		31361120
45		21309000		19780300	33914620		31672920
46		21457900		19904100	34212420		31920520
47		21621800		20019800	34540220		32151920
48		21741600		20140200	34779820		32392720
49		21856800		20248200	35010220		32608720

Polystyrene oligo assay

FIG. 23

	AL	AM	AN	AO	AP	AQ	AR
50		21973900		20388700	35244420		32889720
51		22108900		20474300	35514420		33060920
52		22225000		20568500	35746620		33249320
53		22324000		20659300	35944620		33430920
54		22442200		20773700	36181020		33659720
55		22524700		20894600	36346020		33901520

SECRET - EYES ONLY

## Polystyrene oligo assay

FIG. 24

	AU	AV	AW	AX	AY	AZ	BA
1		$1 \times 10^{-7}$ M					
2							
3		Raw Fluorescence Kinetic Data			Background Subtracted Kinetic Data		
4	time (min)	Ch1		Ch3	$1 \times 10^{-7}$ Ch1		$1 \times 10^{-7}$ Ch3
5	0	28245300		26212000	0		0
6	1	35584600		32050700	14678600		11677400
7	2	39026200		34787600	21561800		17151200
8	3	41044300		36276700	25598000		20129400
9	4	42114200		37171300	27737800		21918600
10	5	42996200		37774800	29501800		23125600
11	6	43538500		38208800	30586400		23993600
12	7	43931600		38462300	31372600		24500600
13	8	44268000		38663800	32045400		24903600
14	9	44452200		38797700	32413800		25171400
15	10	44584500		38940900	32678400		25457800
16	11	44707800		39005700	32925000		25587400
17	12	44741300		39075000	32992000		25726000
18	13	44762600		39158200	33034600		25892400
19	14	44825600		39210600	33160600		25997200
20	15	0		0			
21	16	0		0			
22	17	0		0			
23	18	22483000		19739100	33441400		26532400
24	19	22486100		19752000	33453800		26584000
25	20	22481800		19759100	33436600		26612400
26	21	22462900		19742500	33361000		26546000
27	22	22437500		19722500	33259400		26466000
28	23	22445100		19723700	33289800		26470800
29	24	22415700		19714400	33172200		26433600

FIG. 25

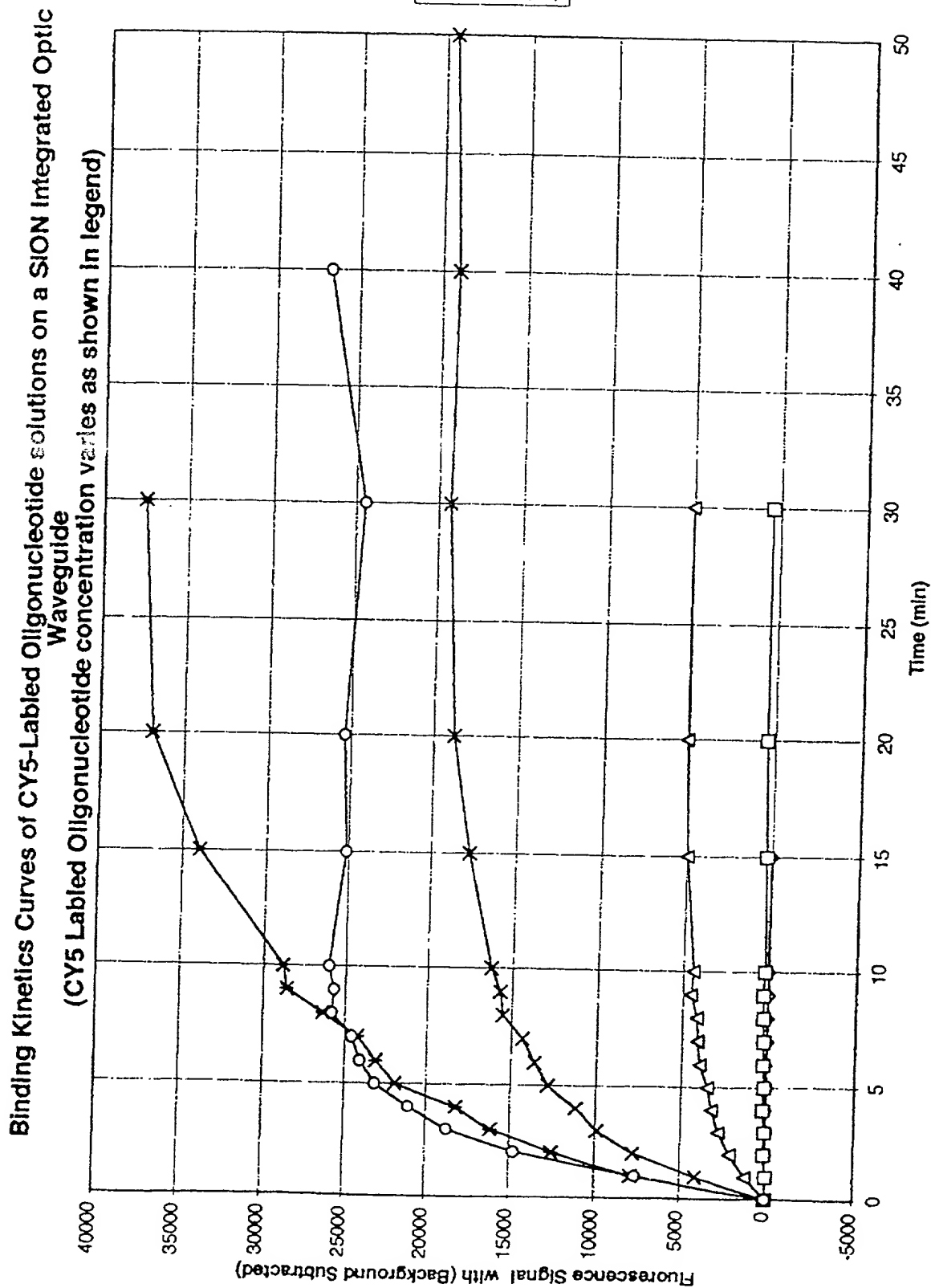
Polystyrene oligo assay

Total Increase in Fluorescence (Equilibrium) Data				
Concentration (M)	Channel 1 counts	Channel 3 counts	Total counts Ch1	Total counts Ch3
$1 \times 10^{-12}$	57280	50888	57280	50888
$1 \times 10^{-11}$	202300	185490	259580	236378
$1 \times 10^{-10}$	494150	439020	753730	675398
$1 \times 10^{-9}$	4053210	3686060	4806940	4361458
$1 \times 10^{-8}$	36346020	33901520	41152960	38262978
$1 \times 10^{-7}$	33172200	26433600	74325160	64696578

SECRET - EYES ONLY

FIG. 26

Integrated Optic oligo assay



	C	D	E	F	G	H	I
5		Raw Fluorescence Kinetic Data					
6							
7		concentration					
8	time (min)	$3 \times 10^{-11}$ M	$3 \times 10^{-10}$ M	$3 \times 10^{-9}$ M	$1 \times 10^{-8}$ M	$3 \times 10^{-8}$ M	$1 \times 10^{-7}$ M
9	0	13403	13921	16827	32542	77025	174425
10	1	13441	13915	18007	36606	84937	182107
11	2	13458	14058	18909	40339	89541	189164
12	3	13469	14019	19556	42439	93142	193135
13	4	13547	14145	19982	43697	95188	195511
14	5	13454	14115	20268	45324	98929	197588
15	6	13538	14187	20730	46146	100143	198491
16	7	13467	14192	20882	46895	101259	198996
17	8	13489	14211	20965	48048	103395	200235
18	9	13431	14256	21357	48227	105623	200147
19	10	13485	14176	21233	48766	105865	200469
20	15	13455	14262	21763	50251	110981	199558
21	20		14379	21921	51306	113911	199813
22	30		14377	21876	51825	114547	198883
23	40				51559		201156
24	50				51908		
25	60						

ACCEPTED

	C	J	K	L	M	N	O
5		Background Subtracted Fluorescence Kinetic Data					
6							
7		concentration					
8	time (min)	$3 \times 10^{-11}$ M	$3 \times 10^{-10}$ M	$3 \times 10^{-9}$ M	$1 \times 10^{-8}$ M	$3 \times 10^{-8}$ M	$1 \times 10^{-7}$ M
9	0	0	0	0	0	0	0
10	1	38	-6	1180	4064	7912	7682
11	2	55	137	2082	7797	12516	14739
12	3	66	98	2729	9897	16117	18710
13	4	144	224	3155	11155	18163	21086
14	5	51	194	3441	12782	21904	23163
15	6	135	266	3903	13604	23118	24066
16	7	64	271	4055	14353	24234	24571
17	8	86	290	4138	15506	26370	25810
18	9	28	335	4530	15685	28598	25722
19	10	82	255	4406	16224	28840	26044
20	15	52	341	4936	17709	33956	25133
21	20		458	5094	18764	36886	25388
22	30		456	5049	19283	37522	24458
23	40				19017		26731
24	50				19366		
25	60						

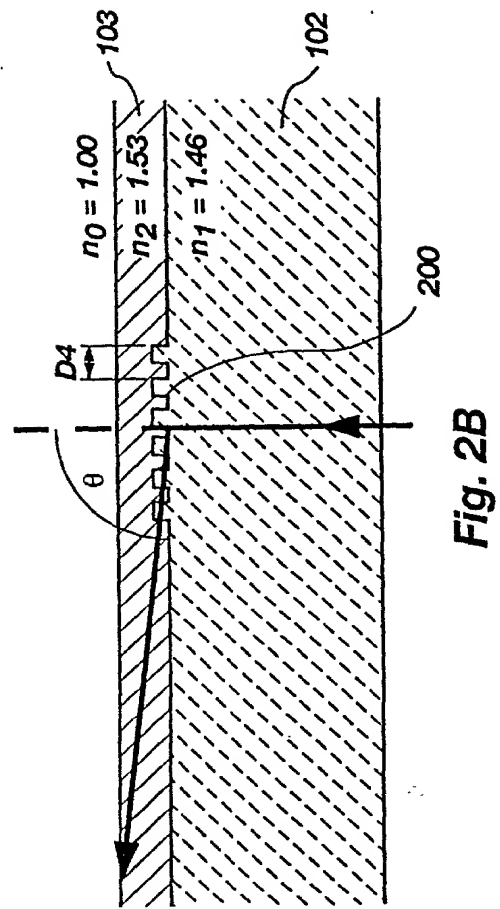
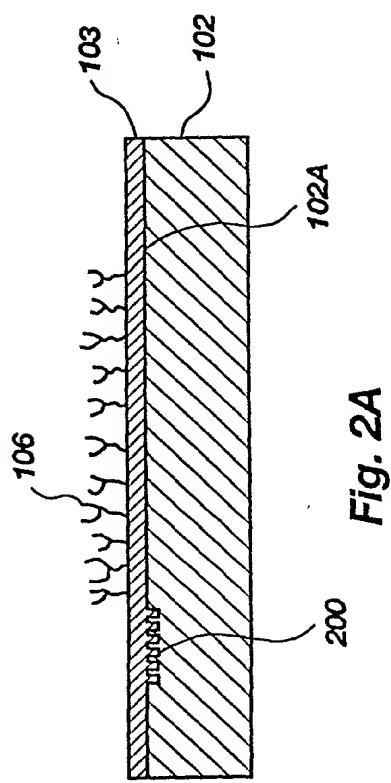
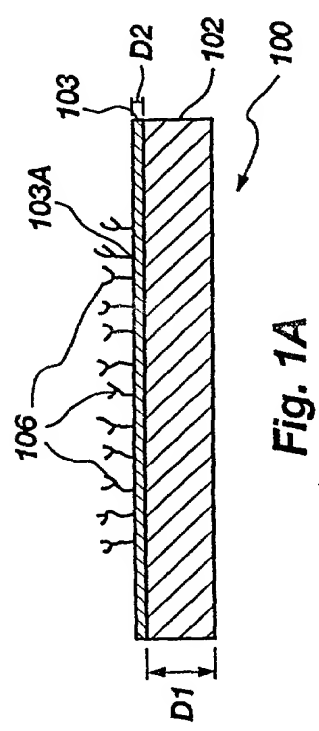
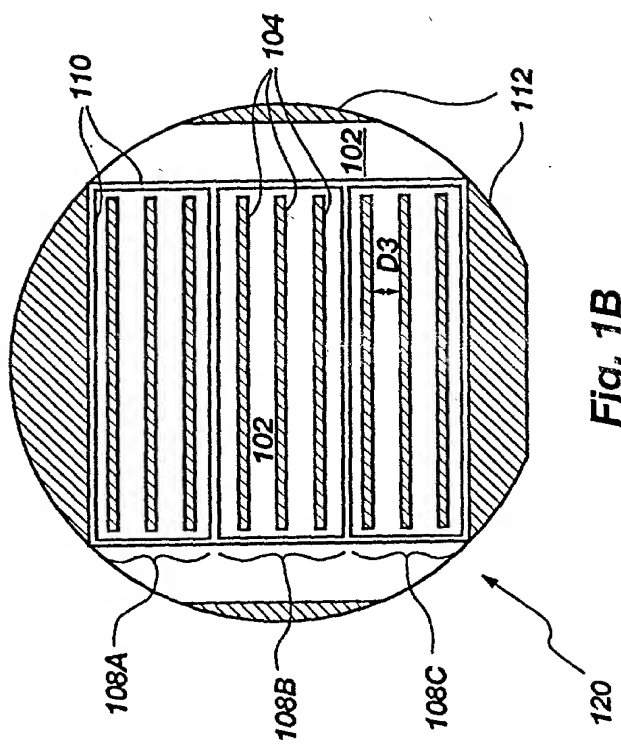


IQ oligo assay

FIG. 29

	Q	R	S	T	U
5					
6	Total Increase In Fluorescence (Equilibrium) Data				
7					
8		Concentration	Counts	Total Counts	
9		$3 \times 10^{-11}$	52	52	
10		$3 \times 10^{-10}$	456	508	
11		0.000000003	5049	5557	
12		0.00000001	19366	24923	
13		0.00000003	37522	62445	
14		0.0000001	26731	89176	
15					
16					
17					

SECRET - REF ID: A66460



INCIDENT  
LASER LIGHT

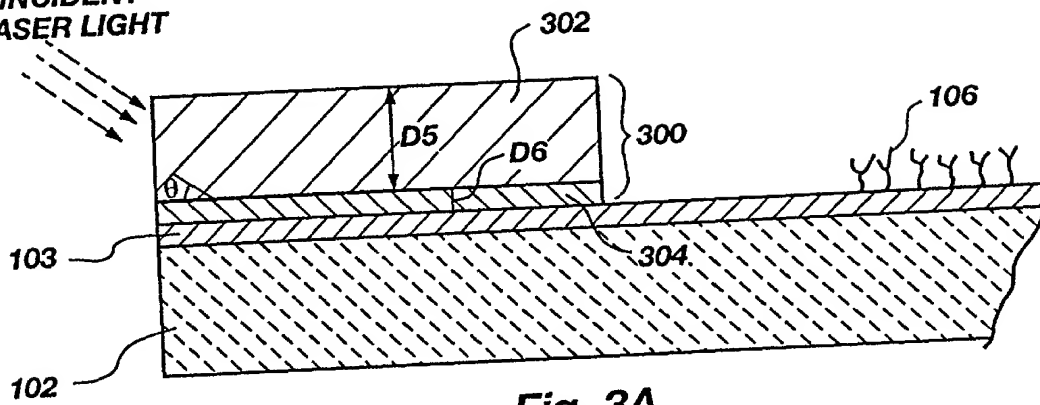


Fig. 3A

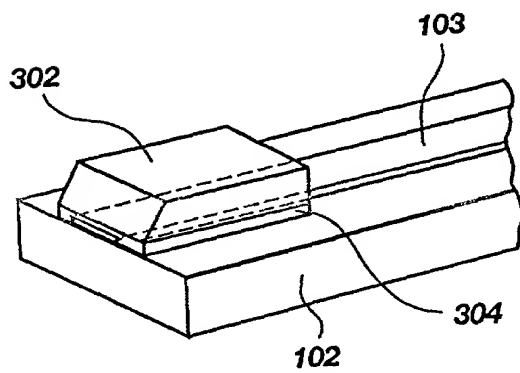


Fig. 3B

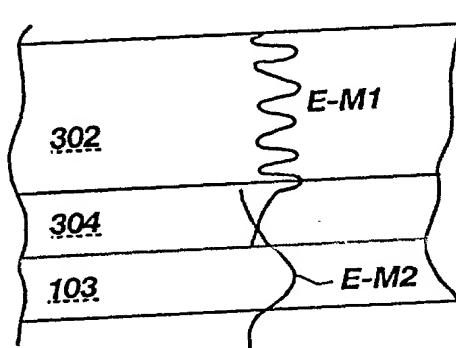


Fig. 3C

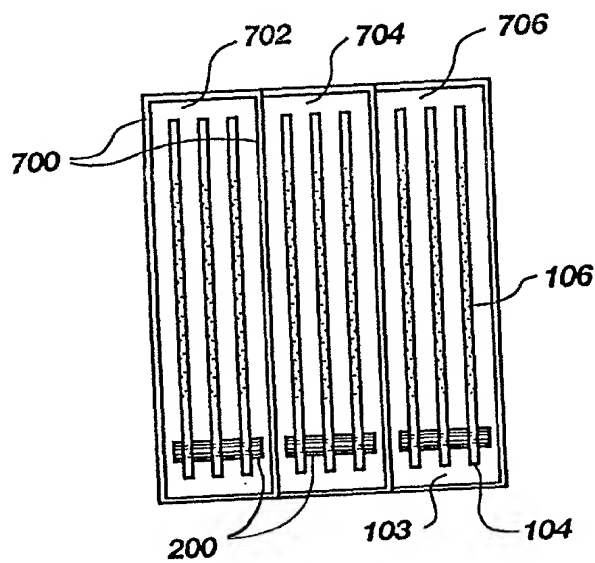


Fig. 7

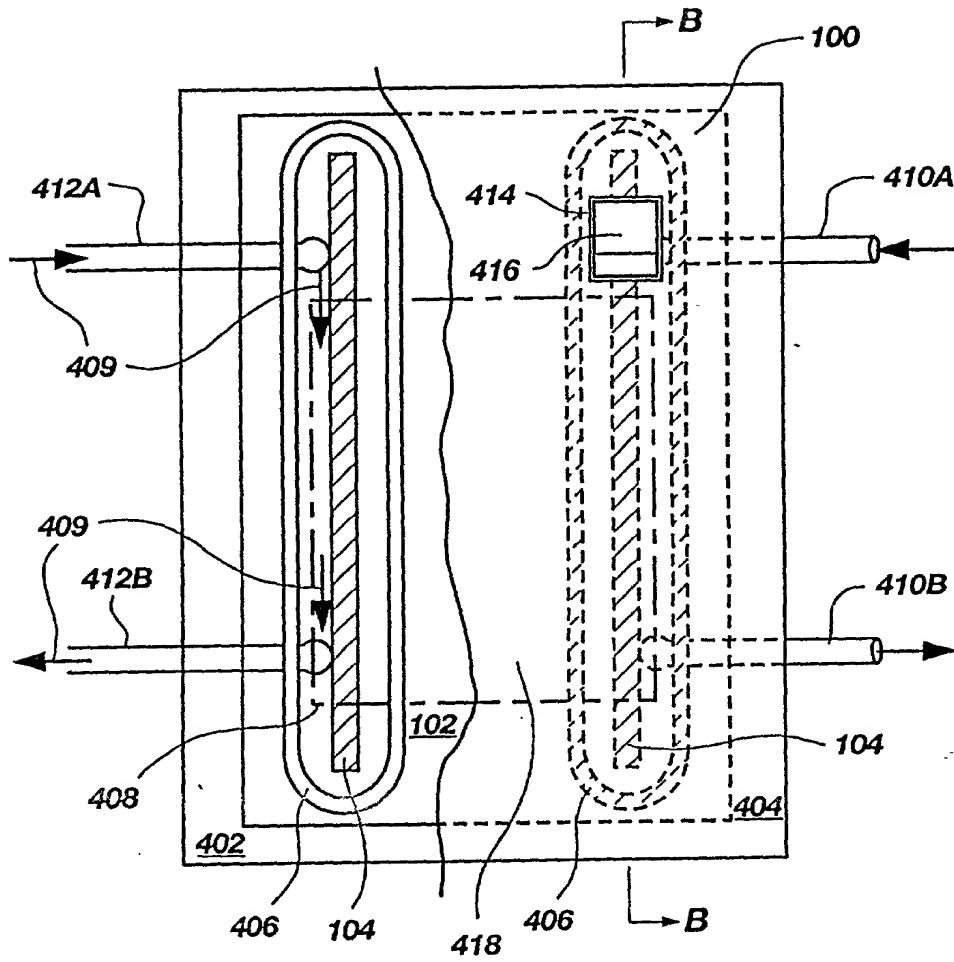


Fig. 4A

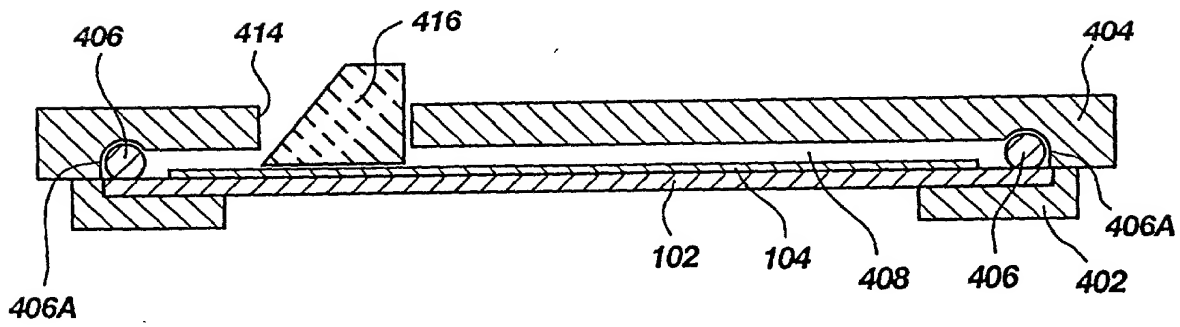


Fig. 4B

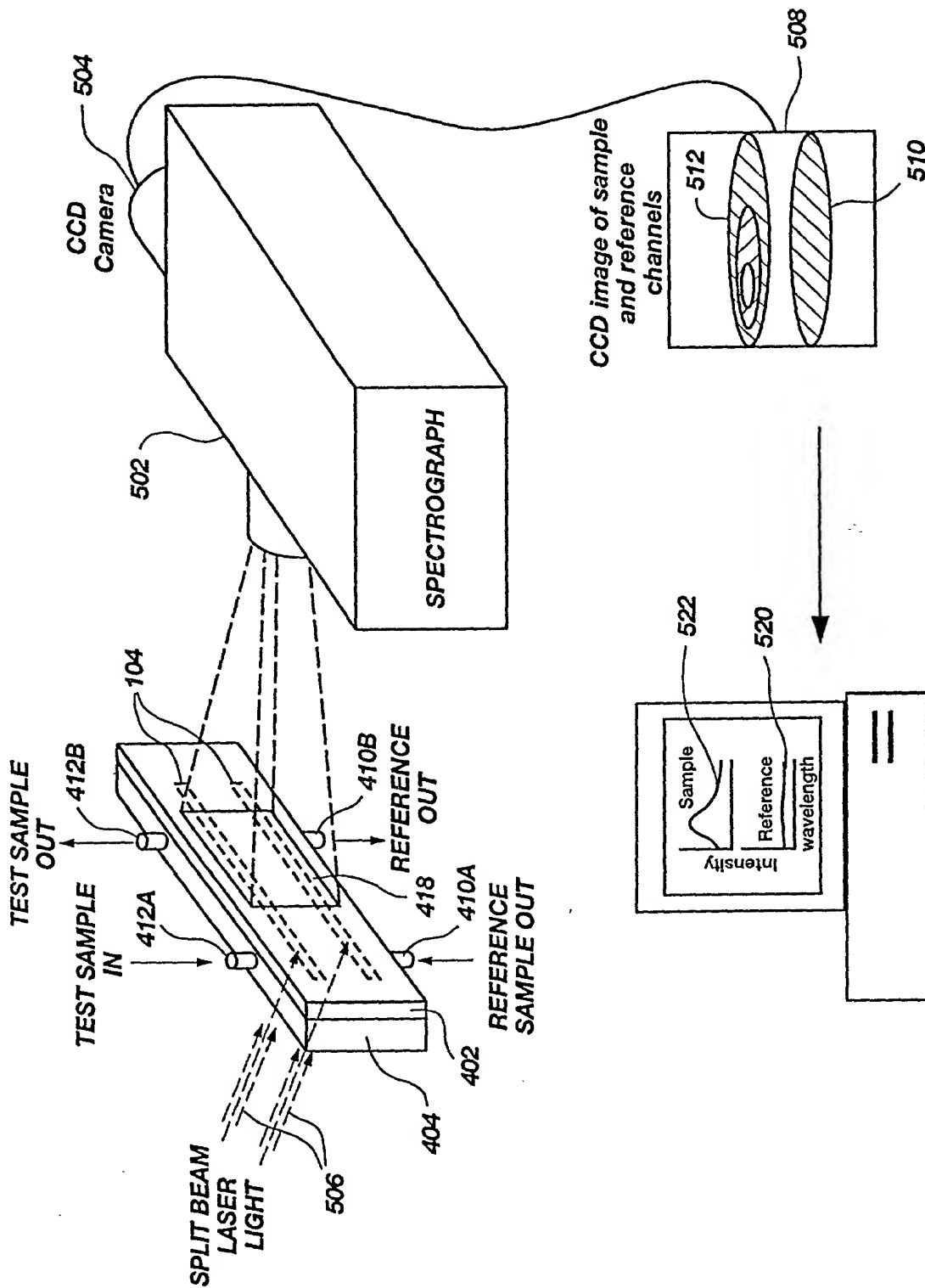


Fig. 5

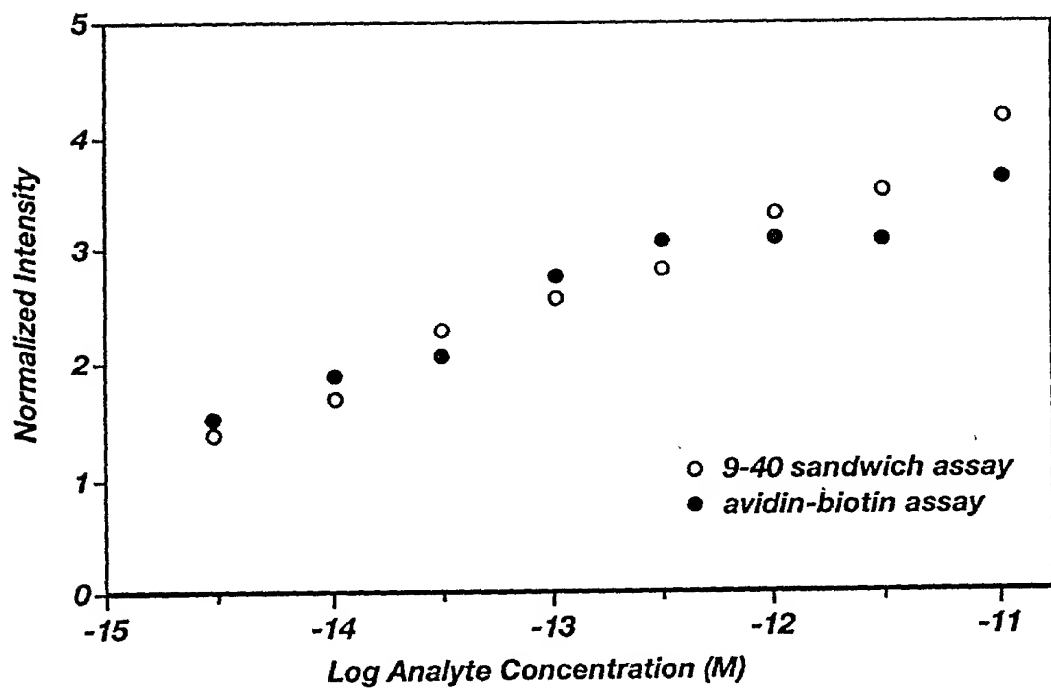


Fig. 6A

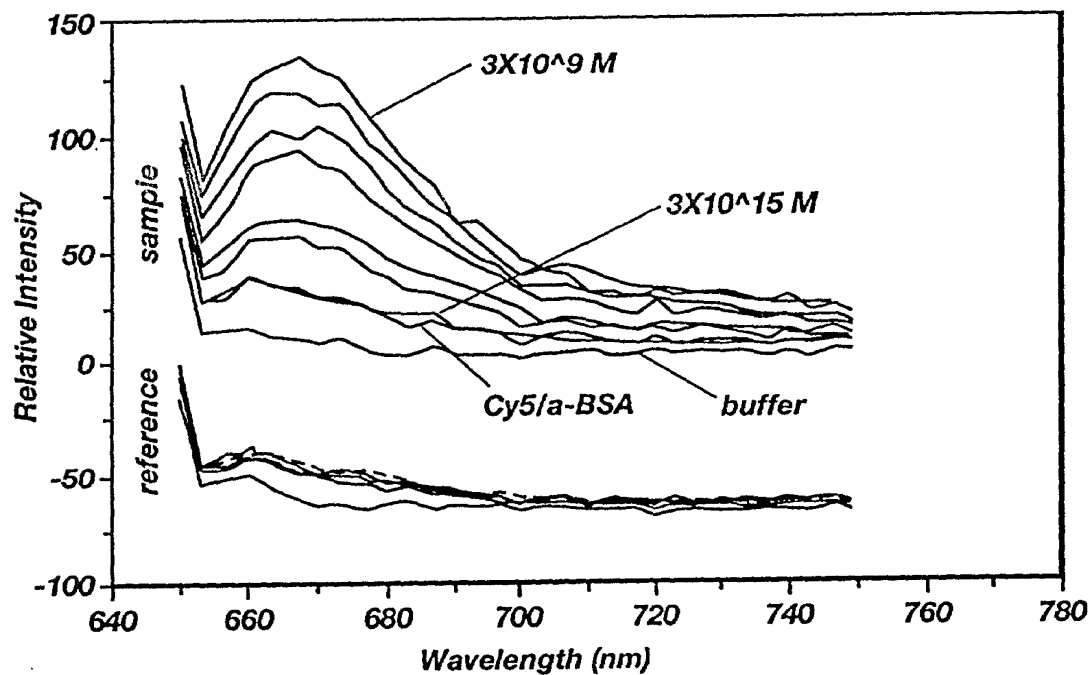


Fig. 6B

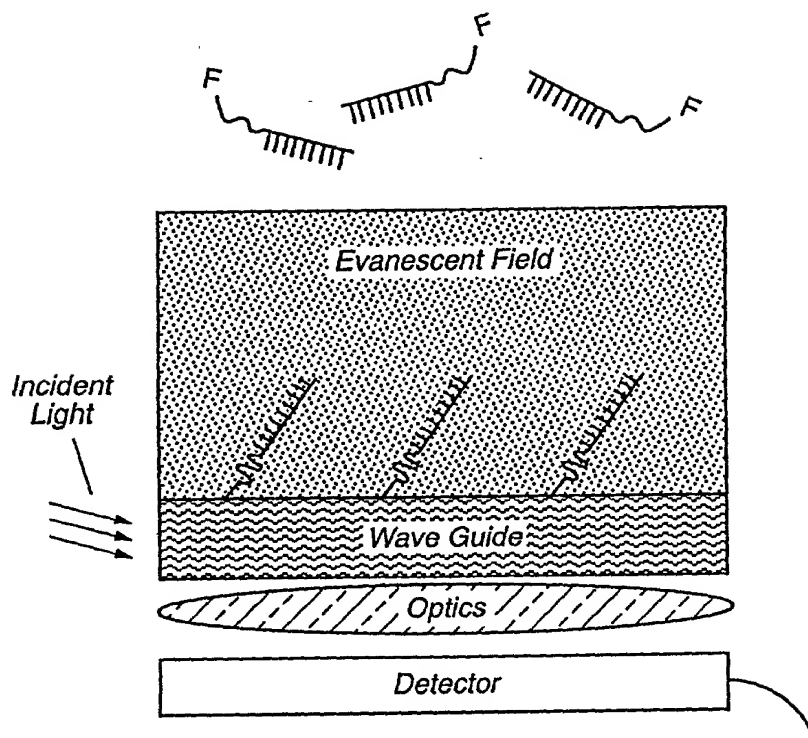


Fig. 8

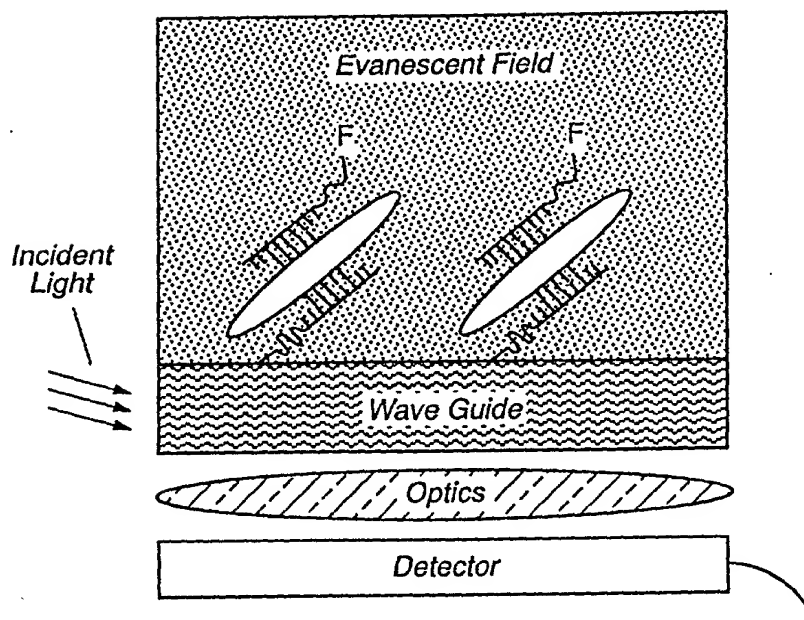
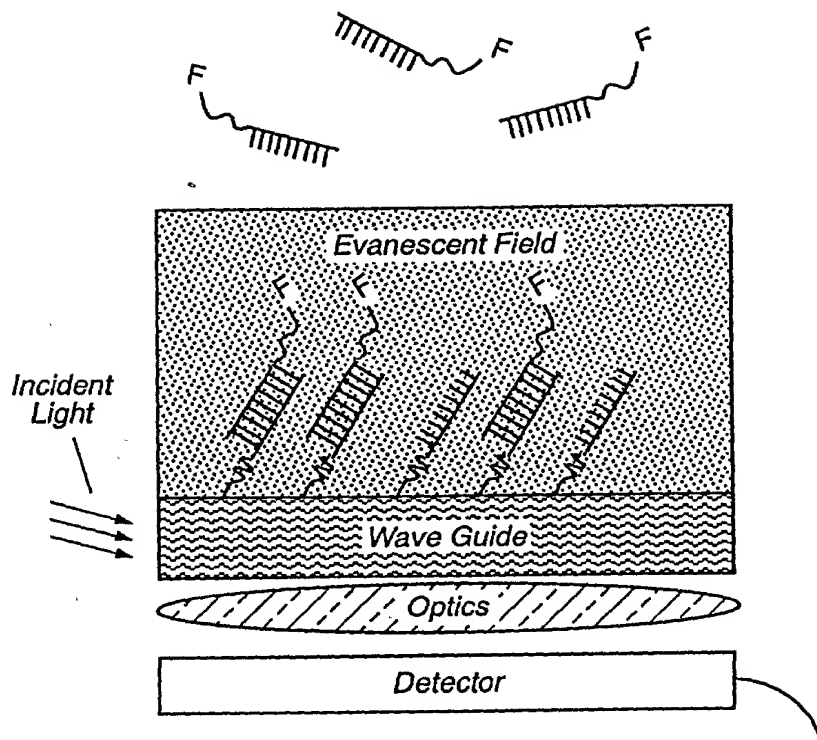
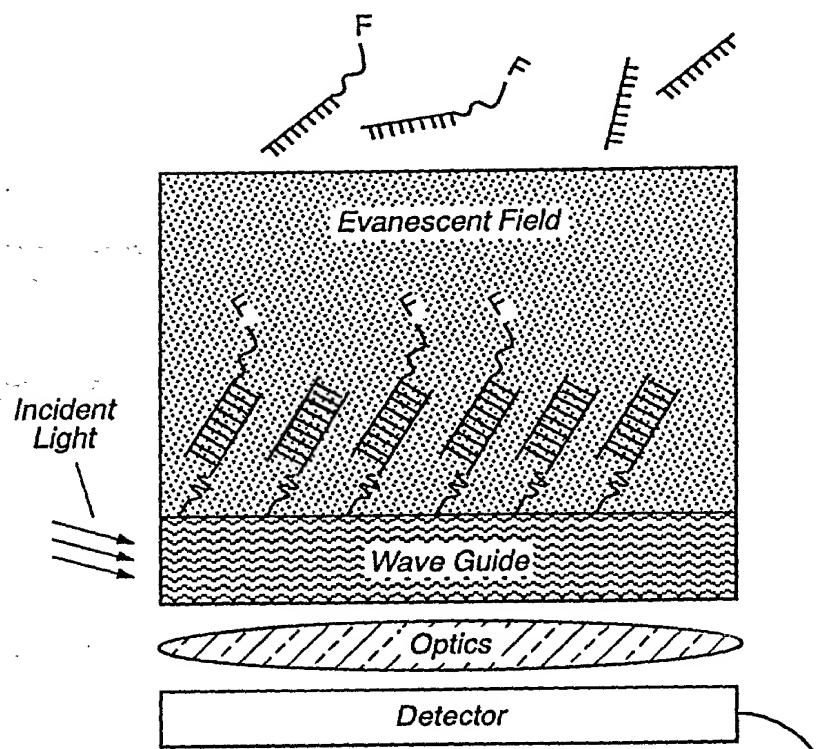


Fig. 9

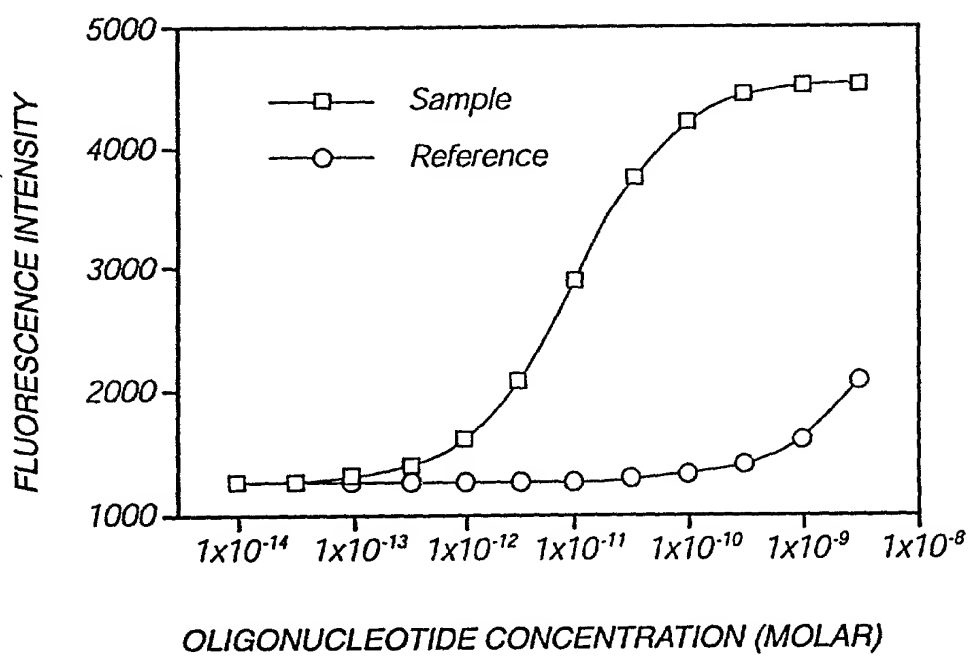


**Fig. 10**

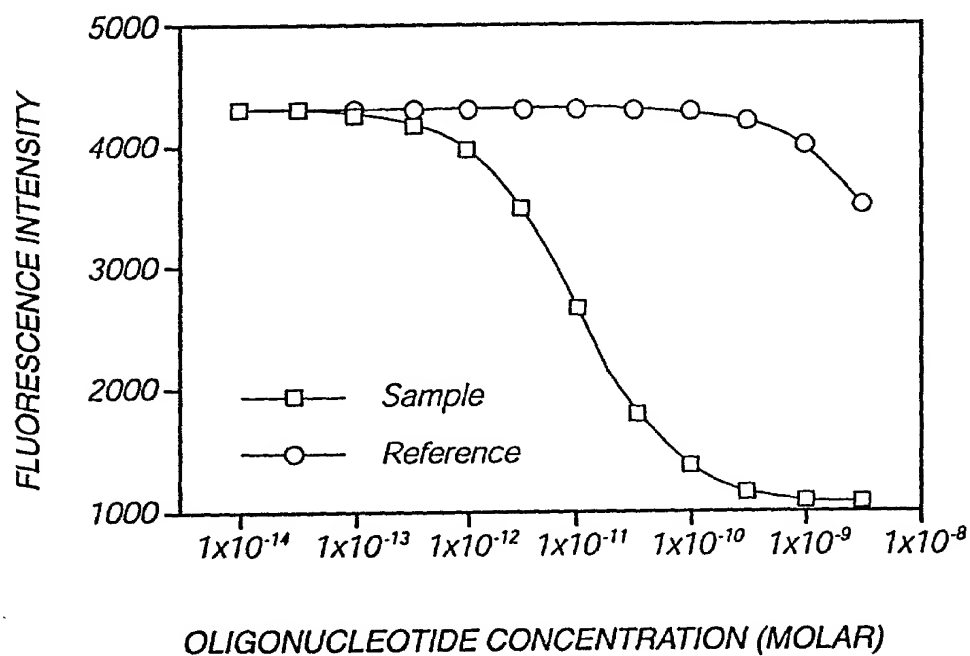


**Fig. 11**





**Fig. 12**



**Fig. 13**

EQUILIBRIUM BINDING ISOTHERM OF CY5-LABELED OLIGONUCLEOTIDE  
WITH SURFACE BOUND ANTICOMPLEMENT ON POLYSTYRENE WAVEGUIDE  
(CURVE FIT SHOWN)

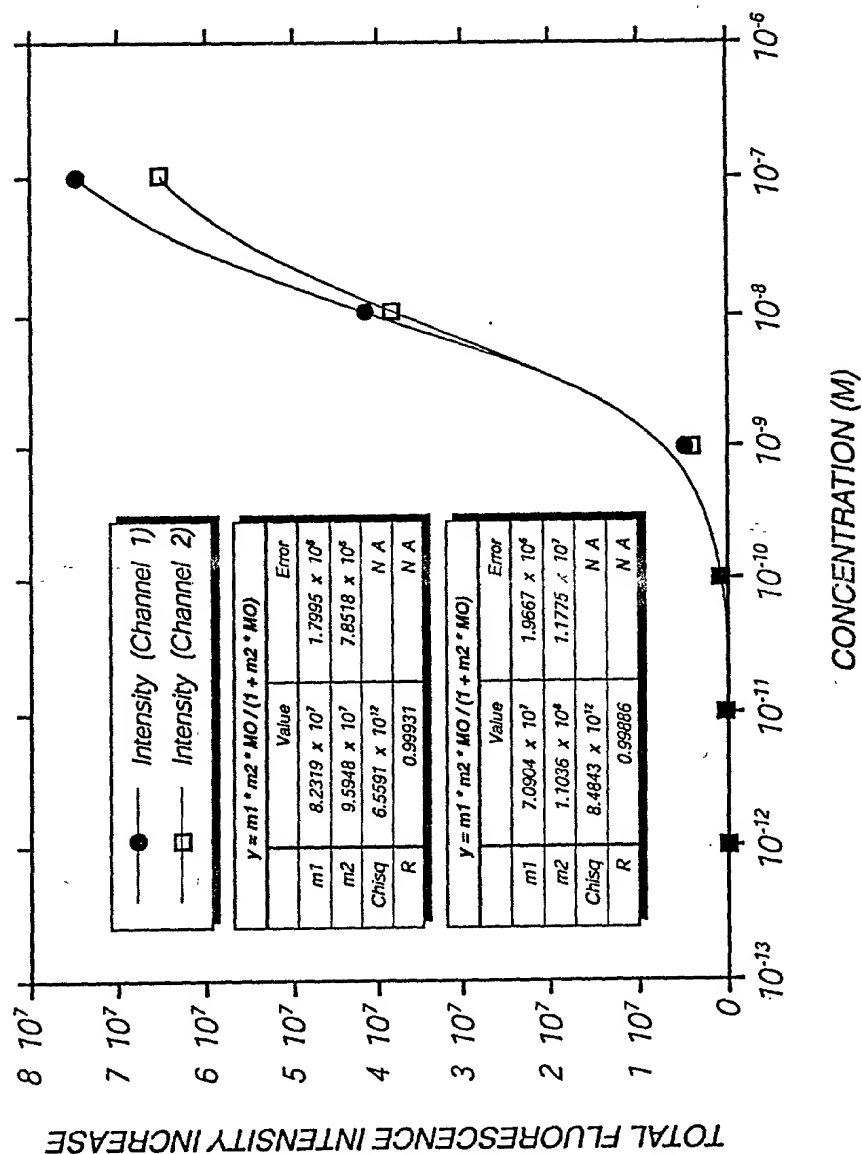
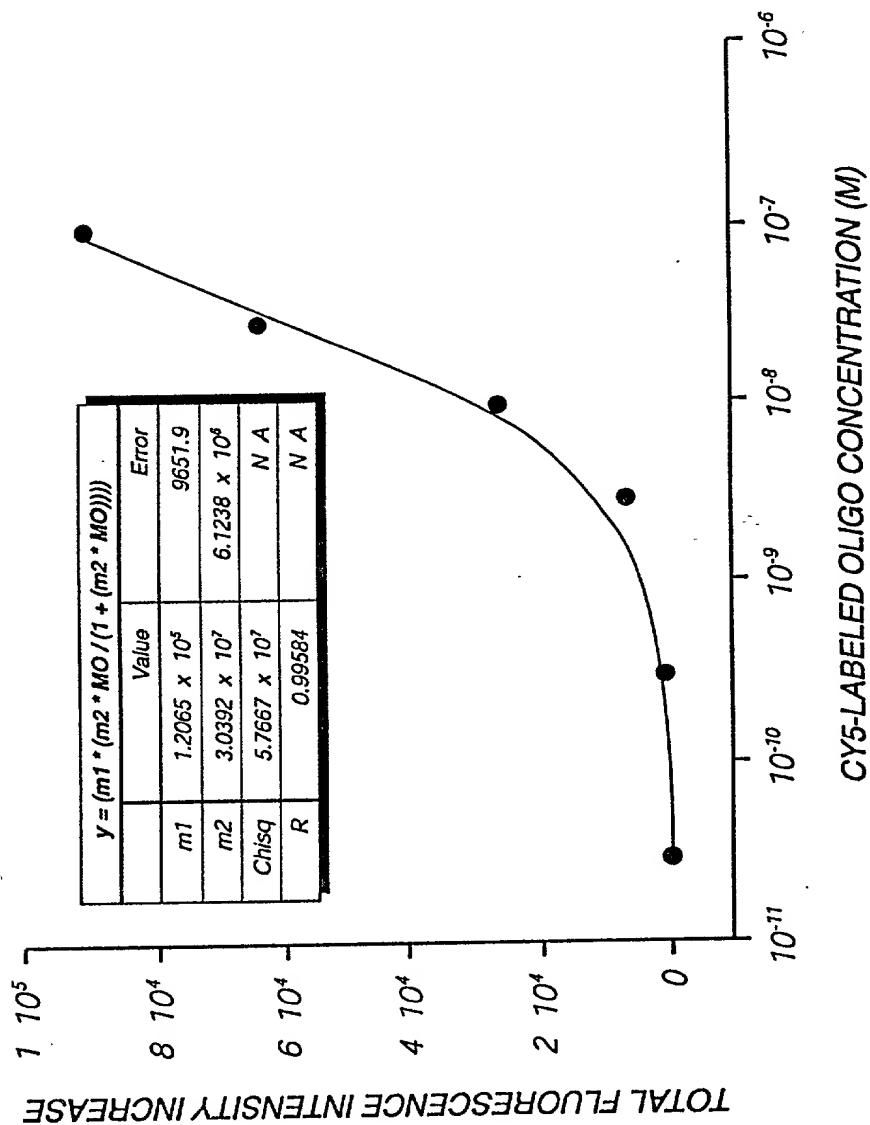


Fig. 14

**EQUILIBRIUM BINDING ISOTHERM OF CYS-LABELED OLIGONUCLEOTIDE  
WITH SURFACE BOUND ANTICOMPLEMENT ON INTEGRATED OPTIC WAVEGUIDE  
(CURVE FIT SHOWN)**



**Fig. 15**

KINETICS OF INCREASING OLIGO TRACER CONCENTRATION (ON ONE POLYSTYRENE WG)

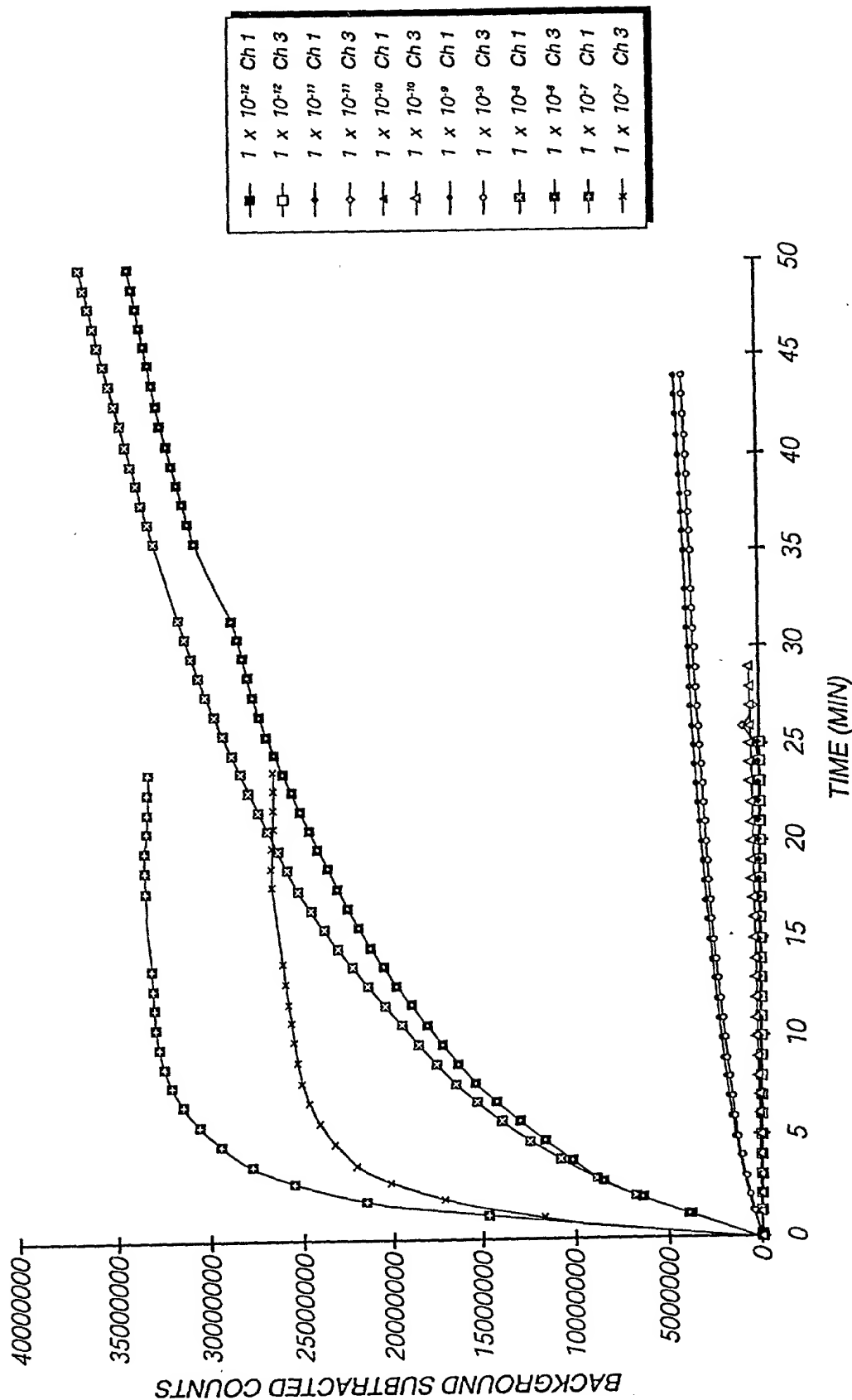


Fig. 16

# KINETICS OF INCREASING OLIGO TRACER CONCENTRATION (ON ONE WG)

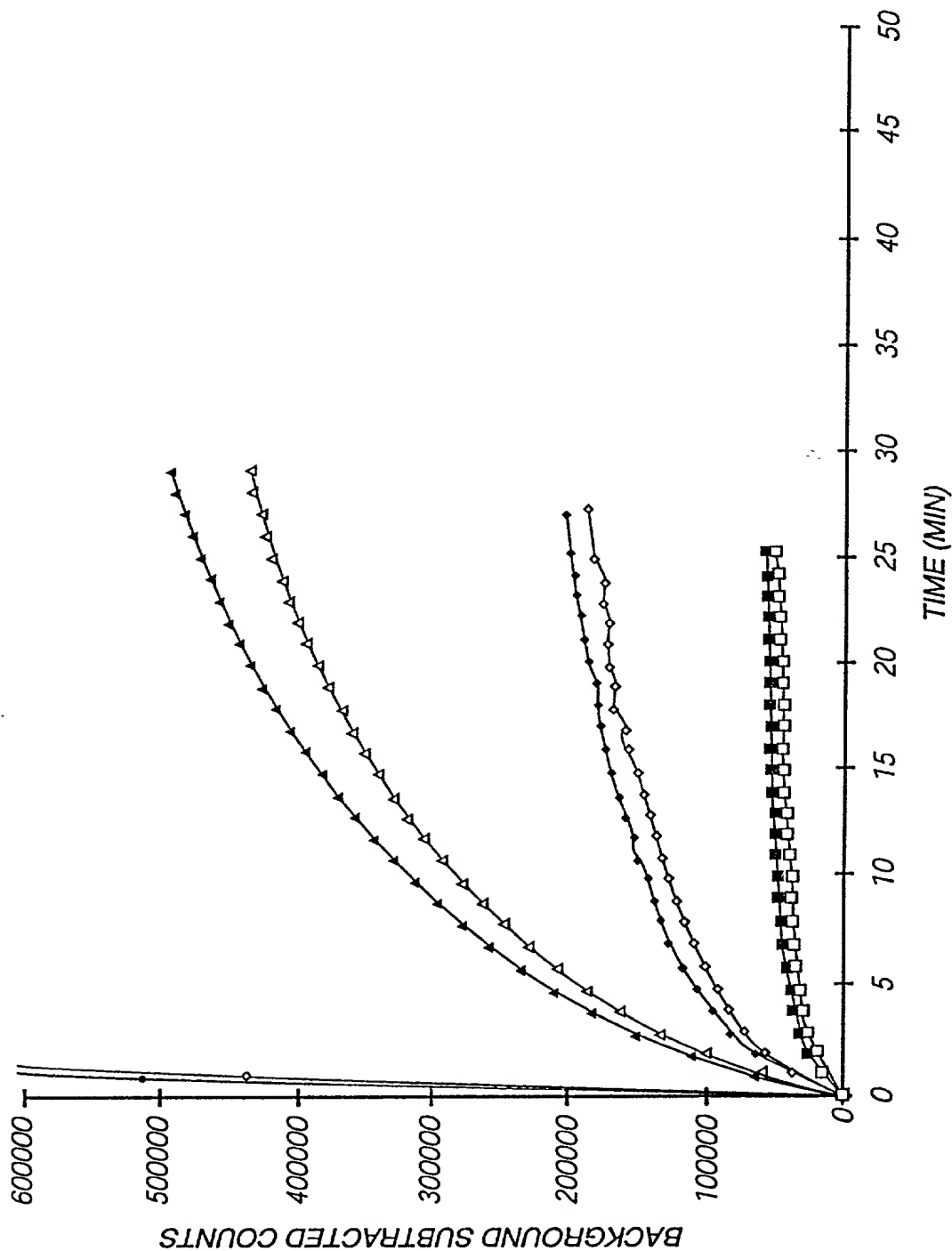


Fig. 16A

# **POLYSTYRENE OLIGO ASSAY**

	B	C	D	E	F	G	H
1		$1 \times 10^{-12}$ M					
2							
3		Raw Fluorescence Kinetic Data		Background Subtracted Kinetic Data			
4	Time (min)	Ch1		Ch3	$1 \times 10^{-12}$ Ch1		$1 \times 10^{-12}$ Ch3
5	0	1031980		947053	0		0
6	1	1051720		964657	19740		17604
7	2	1059810		971060	27830		24007
8	3	1064300		975759	32320		28706
9	4	1066790		977556	34810		30503
10	5	1070240		979930	38260		32877
11	6	1073240		985923	41260		38870
12	7	1077290		982526	45310		35473
13	8	1077920		986607	45940		39554
14	9	1079540		984734	47560		37681
15	10	1080120		988538	48140		41485
16	11	1083400		988133	51420		41080
17	12	1081750		988906	49770		41853
18	13	1083850		990135	51870		43082
19	14	1084520		993928	52540		46875
20	15	1086060		991629	54080		44576
21	16	1087080		993243	55100		46190
22	17	1085270		994081	53290		47028
23	18	1086270		992415	54290		45362
24	19	1087740		993538	55760		46485
25	20	1087370		995980	55390		48927
26	21	1087260		994168	55280		47115
27	22	1087940		995014	55960		47961
28	23	1089060		996124	57080		49071
29	24	1088160		995082	56180		48029
30	25	1089260		997941	57280		50888

**Fig. 17**

# **POLYSTYRENE OLIGO ASSAY**

	K	L	M	N	O	P	Q
1		$1 \times 10^{-11}$ M					
2							
3		Raw Fluorescence Kinetic Data			Background Subtracted Kinetic Data		
4	Time (min)	Ch1		Ch3	$1 \times 10^{-11}$ Ch1		$1 \times 10^{-11}$ Ch3
5	0	1112100		1013190	0		0
6	1	1152800		1051900	40700		38710
7	2	1177670		1071660	65570		58470
8	3	1195110		1086710	83010		73520
9	4	1206770		1098220	94670		85030
10	5	1218050		1107530	105950		94340
11	6	1226500		1115620	114400		102430
12	7	1235640		1122820	123540		109630
13	8	1242310		1131140	130210		117950
14	9	1250250		1135680	138150		122490
15	10	1253080		1140810	140980		127620
16	11	1262270		1146620	150170		133430
17	12	1264930		1151130	152830		137940
18	13	1271750		1155150	159650		141960
19	14	1275570		1160520	163470		147330
20	15	1279790		1162120	167690		148930
21	16	1283360		1170450	171260		157260
22	17	1289100		1172750	177000		159560
23	18	1292270		1180160	180170		166970
24	19	1292130		1180470	180030		167280
25	20	1296600		1182910	184500		169720
26	21	1300090		1185730	187990		172540
27	22	1302750		1186670	190650		173480
28	23	1304940		1189090	192840		175900
29	24	1308560		1188140	196460		174950
30	25	1309440		1195230	197340		182040
31	26	2002360		1980930	890260		967740
32	27	1314400		1198680	202300		185490

**Fig. 18**

# **POLYSTYRENE OLIGO ASSAY**

	T	U	V	W	X	Y	Z
1		$1 \times 10^{-10}$ M					
2							
3		Raw Fluorescence Kinetic Data		Background Subtracted Kinetic Data			
4	Time (min)	Ch1		Ch3	$1 \times 10^{-10}$ Ch1		$1 \times 10^{-10}$ Ch3
5	0	1432650		1312580	0		0
6	1	1500170		1373250	67520		60670
7	2	1542830		1411670	110180		99090
8	3	1582310		1444560	149660		131980
9	4	1614050		1476000	181400		163420
10	5	1641770		1498500	209120		185960
11	6	1666940		1520160	234290		207580
12	7	1691120		1541210	258470		228630
13	8	1700740		1560130	278090		247550
14	9	1730010		1575870	297360		263290
15	10	1747540		1599050	314890		276470
16	11	1763960		1605980	331310		293400
17	12	1777990		1620430	345340		307850
18	13	1789310		1630300	356660		317720
19	14	1804540		1639820	371890		327240
20	15	1816140		1655440	383490		342860
21	16	1827680		1663840	395033		351260
22	17	1840680		1674570	408030		361990
23	18	1851760		1680090	419110		367510
24	19	1858720		1693450	426070		380870
25	20	1869390		1699100	436740		386520
26	21	1877230		1708640	444580		396060
27	22	1884240		1714860	451590		402280
28	23	1891760		1720530	459110		407950
29	24	1899320		1725140	466670		412560
30	25	1904700		1733780	472050		421200
31	26	1910260		1739570	477610		426990
32	27	1917760		1741990	485110		429410
33	28	1924070		1750590	491420		438010
34	29	1926800		1751600	494150		439020

**Fig. 19**



# POLYSTYRENE OLIGO ASSAY

	AC	AD	AE	AF	AG	AH	AI
1		1x10 <sup>9</sup> M					
2							
3		Raw Fluorescence Kinetic Data			Background Subtracted Kinetic Data		
4	Time (min)	Ch1		Ch3	1x10 <sup>9</sup> Ch1		1x10 <sup>9</sup> Ch3
5	0	2277600		2066020	0		0
6	1	2791580		2504350	513980		438330
7	2	3116840		2792860	839240		726840
8	3	3377790		3021480	1100190		955460
9	4	3593810		3217180	1316210		1151160
10	5	3782480		3389790	1504880		1323770
11	6	3954890		3544790	1677290		1478770
12	7	4107890		3684630	1830290		1618610
13	8	4254390		3819870	1976790		1753850
14	9	4384410		3940160	2106810		1874140
15	10	4503520		4046970	2225920		1980950
16	11	4617170		4155710	2339570		2089690
17	12	4720460		4250340	2442860		2184320
18	13	4825950		4345730	2548350		2279710
19	14	4916650		4431590	2639050		2365570
20	15	5012020		4517220	2734420		2451200
21	16	5101450		4600800	2823850		2534780
22	17	5184010		4676650	2906410		2610630
23	18	5258160		4747450	2980560		2681430
24	19	5331160		4812870	3053560		2746850
25	20	5403100		4876800	3125500		2810780
26	21	5469290		4940820	3191690		2874800
27	22	5527850		4999840	3250250		2933820
28	23	5590790		5054350	3313190		2988510
29	24	5645270		5109750	3367670		3043730
30	25	5700390		5159770	3422790		3093750
31		5752500		5207200	3474900		3141180
32		5799990		5254210	3522390		3188190
33		5849310		5295550	3571710		3229530
34		5894420		5337760	3616820		3271740
35		5931460		5374030	3653860		3308010
36		5973550		5412550	3695950		3346530
37		6010260		5451210	3732660		3385190
38		6044600		5482710	3767000		3416690
39		0		0			
40		6116470		5550920	3838870		3484900
41		6147630		5578310	3870030		3512290
42		6174870		5608720	3897270		3542700
43		6204650		5636190	3927050		3570170
44		6231100		5654760	3953500		3588740
45		6250750		5682210	3973150		3616190
46		6271150		5699130	3993550		3633110
47		6293540		5723860	4015940		3657840
48		6307640		5731930	4030040		3665910
49		6330810		5752080	4053210		3686060

Fig. 20

**POLYSTYRENE OLIGO ASSAY**

	AL	AD	AN	AF	AG	AQ	AI
50		21973900		23388700	35244420		32889720
51		22108900		20474300	35514420		33060920
52		22225000		20568500	35746620		33249320
53		22324000		20659300	35944620		33430920
54		22442200		20773700	36181020		33659720
55		22524700		20894600	36346020		33901520

**Fig. 21**

RECEIVED

# POLYSTYRENE OLIGO ASSAY

	AL	AM	AN	AO	AP	AQ	AR
1		1x10 <sup>-3</sup> M					
2							
3		Raw Fluorescence Kinetic Data			Background Subtracted Kinetic Data		
4	Time (min)	Ch1		Ch3	1x10 <sup>-3</sup> Ch1		1x10 <sup>-3</sup> Ch3
5	0	8703380		7887680	0		0
6	1	12702700		11737900	3999320		3850220
7	2	15420600		14403300	6717220		6515620
8	3	17653400		16383800	8950020		8496120
9	4	19565100		17999500	10861720		10111820
10	5	21173800		19524900	12470420		11637220
11	6	22610500		20827400	13907120		12939720
12	7	23890100		22128500	15186720		14240820
13	8	25099600		23241100	16396220		15353420
14	9	26178400		24236400	17475020		16348720
15	10	27228700		25135700	18525320		17248020
16	11	28247800		26050500	19544420		18162820
17	12	29125600		26871000	20422220		18983320
18	13	29933500		27640300	21230120		19752622
19	14	30841700		28312900	22138320		20425220
20	15	31585800		29031300	22882420		21143620
21	16	32377400		29684100	23674020		21796420
22	17	33057900		30278200	24354520		22390520
23	18	33764700		30843200	25061320		22955520
24	19	34358100		31395300	25654720		23507620
25	20	34882300		31916400	26178920		24028720
26	21	35476100		32442900	26772720		24555220
27	22	36033800		32959400	27330420		25071720
28	23	36568900		33453700	27865520		25566020
29	24	37028500		33900500	28325120		26012820
30	25	37445200		34258400	28741820		26370720
31		37891100		34633600	29187720		26745920
32		38356200		35029500	29652820		27141820
33		38764900		35280900	30061520		27393220
34		39118800		35568000	30415420		27680320
35		39418600		35916200	30715220		28028520
36		39815000		36187200	31111620		28299520
37		40140900		36442000	31437520		28554320
38		0		0			
39		0		0			
40		0		0			
41		20710200		19168700	32717020		30449720
42		20866700		19328900	33030020		30770120
43		21014600		19483400	33325820		31099120
44		21168200		19624400	33633020		31361120
45		21309000		19780300	33914620		31672920
46		21457900		19904100	34212420		31920520
47		21621800		20019800	34540220		32151920
48		21741600		20140200	34779820		32392720
49		21856800		20248200	35010220		32608720

Fig. 22

**POLYSTYRENE OLIGO ASSAY**

	AL	AM	AN	AO	AP	AQ	AR
50		21973900		23388700	35244420		32889720
51		22108900		20474300	35514420		33060920
52		22225000		20568500	35746620		33249320
53		22324000		20659300	35944620		33430920
54		22442200		20773700	36181020		33659720
55		22524700		20894600	36346020		33901520

**Fig. 23**

Sheet "B" 58T60

# **POLYSTYRENE OLIGO ASSAY**

	AU	AV	AW	AX	AY	AZ	BA
1		1x10 <sup>-7</sup> M					
2							
3		Raw Fluorescence Kinetic Data			Background Subtracted Kinetic Data		
4	Time (min)	Ch1		Ch3	1x10 <sup>-7</sup> Ch1		1x10 <sup>-7</sup> Ch3
5	0	28245300		26212000	0		0
6	1	35584600		32050700	14678600		11677400
7	2	39026200		34787600	21561800		17151200
8	3	41044300		36276700	25598000		20129400
9	4	42114200		37171300	27737800		21918600
10	5	42966200		37774800	29501800		23125600
11	6	43538500		38208800	30586400		23993600
12	7	43931600		38462300	31372600		24500600
13	8	44268000		38663800	32045400		24903600
14	9	44452200		38797700	32413800		25171400
15	10	44584500		38940900	32678400		25457800
16	11	44707800		39005700	32925000		25587400
17	12	44741300		39075000	32992000		25726000
18	13	44762600		39158200	33034600		25892400
19	14	44825600		39210600	33160600		25997200
20	15	0		0			
21	16	0		0			
22	17	0		0			
23	18	22483000		19739100	33441400		26532400
24	19	22486100		19752000	33453800		26584000
25	20	22481800		19759100	33436600		26612400
26	21	22462900		19742500	33361000		26546000
27	22	22437500		19722500	33259400		26466000
28	23	22445100		19723700	33289800		26470800
29	24	22415700		19714400	33172200		26433600

**Fig. 24**

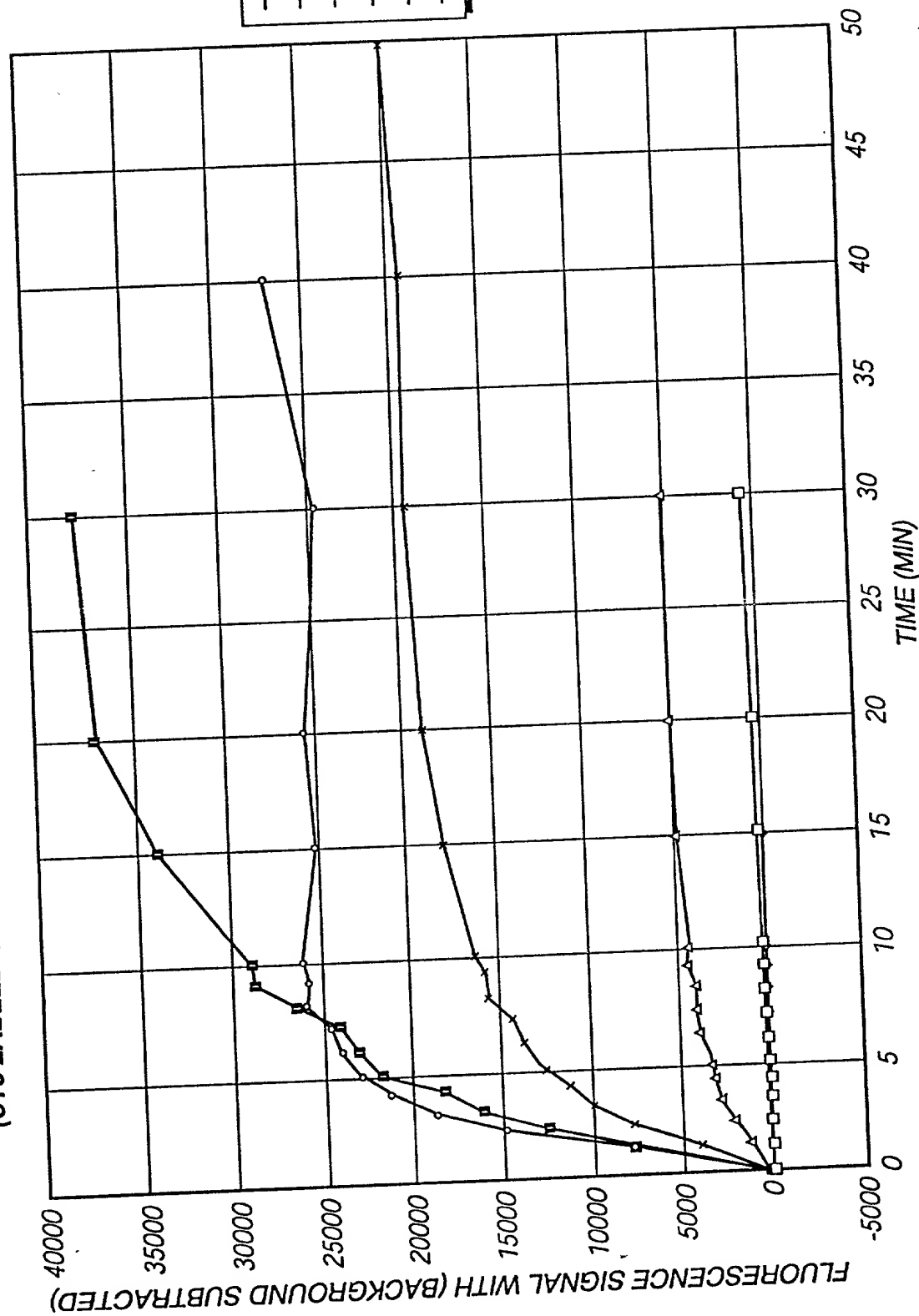
# **POLYSTYRENE OLIGO ASSAY**

<b>Total Increase in Fluorescence (Equilibrium) Data</b>				
<b>Concentration (M)</b>	<b>Channel 1 counts</b>	<b>Channel 3 counts</b>	<b>Total counts Ch1</b>	<b>Total counts Ch3</b>
$1 \times 10^{-12}$	57280	50888	57280	50888
$1 \times 10^{-11}$	202300	185490	259580	236378
$1 \times 10^{-10}$	494150	439020	753730	675398
$1 \times 10^{-9}$	4053210	3686060	4806940	4361458
$1 \times 10^{-8}$	36346020	33901520	41152960	38262978
$1 \times 10^{-7}$	33172200	26433600	74325160	64696578

**Fig. 25**

0915318-11098  
SECRET

**BINDING KINETICS CURVES OF CY5-LABELED OLIGONUCLEOTIDE SOLUTIONS ON A SION INTEGRATED OPTIC WAVEGUIDE  
(CY5 LABELED OLIGONUCLEOTIDE CONCENTRATION VARIES AS SHOWN IN LEGEND)**



**Fig. 26**

# 10 OLIGO ASSAY

	C	D	E	F	G	H	I
5		Raw Fluorescence Kinetic Data					
6							
7		Concentration					
8	Time (min)	$3 \times 10^{-11} \text{ M}$	$3 \times 10^{-10} \text{ M}$	$3 \times 10^{-9} \text{ M}$	$1 \times 10^{-8} \text{ M}$	$3 \times 10^{-8} \text{ M}$	$1 \times 10^{-7} \text{ M}$
9	0	13403	13921	16827	32542	77025	174425
10	1	13441	13915	18007	36606	84937	182107
11	2	13458	14058	18909	40339	89541	189164
12	3	13469	14019	19556	42439	93142	193135
13	4	13547	14145	19982	43697	95188	195511
14	5	13454	14115	20268	45324	98929	197588
15	6	13538	14187	20730	46146	100143	198491
16	7	13467	14192	20882	46895	101259	198996
17	8	13489	14211	20965	48048	103359	200235
18	9	13431	14256	21357	48227	105623	200147
19	10	13485	14176	21233	48766	105865	200469
20	15	13455	14262	21763	50251	110981	199558
21	20		14379	21921	51306	113911	199813
22	30		14377	21867	51825	114547	198883
23	40				51559		201156
24	50				51908		
25	60						

Fig. 27



# IO OLIGO ASSAY

	C	J	K	L	M	N	O
5		Background Subtracted Fluorescence Kinetic Data					
6							
7		Concentration					
8	Time (min)	$3 \times 10^{-11} \text{ M}$	$3 \times 10^{-10} \text{ M}$	$3 \times 10^{-9} \text{ M}$	$1 \times 10^{-8} \text{ M}$	$3 \times 10^{-8} \text{ M}$	$1 \times 10^{-7} \text{ M}$
9	0	0	0	0	0	0	0
10	1	38	-6	1180	4064	7912	7682
11	2	55	137	2082	7797	12516	14739
12	3	66	98	2729	9897	16117	18710
13	4	144	224	3155	11155	18163	21086
14	5	51	194	3441	12782	21904	23163
15	6	135	266	3903	13604	23118	24066
16	7	64	271	4055	14353	24234	24571
17	8	86	290	4138	15506	26370	25810
18	9	28	355	4530	15685	28598	25722
19	10	82	255	4406	16224	28404	26044
20	15	52	341	4936	17709	33956	25133
21	20		458	5094	18764	36886	25388
22	30		456	5049	19283	37522	24458
23	40				19017		26731
24	50				19366		
25	60						

Fig. 28

# 10 OLIGO ASSAY

	Q	R	S	T	U
5					
6	<i>Total Increase in Fluorescence (Equilibrium) Data</i>				
7					
8		<i>Concentration</i>	<i>Counts</i>	<i>Total counts</i>	
9		$3 \times 10^{-11}$	52	52	
10		$3 \times 10^{-10}$	456	508	
11		0.000000003	5049	5557	
12		0.00000001	19366	24923	
13		0.00000003	37522	62445	
14		0.0000001	26731	89176	
15					
16					
17					

Fig. 29

0015718-110360

## DECLARATION FOR PATENT APPLICATION (WITH POWER OF ATTORNEY)

As an inventor named below or on any attached continuation page, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled COMPOSITE WAVEGUIDE FOR SOLID PHASE BINDING ASSAYS, the specification of which (check one):

☒ is attached hereto.

☐ was filed on \_\_\_\_\_ as United States application serial no. \_\_\_\_\_ and was amended on \_\_\_\_\_.

☐ was filed on \_\_\_\_\_ as PCT international application no. \_\_\_\_\_ and was amended under PCT Article 19 on \_\_\_\_\_.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to me to be material to the patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate or § 365(a) of any PCT international application(s) designating at least one country other than the United States of America listed below and on any attached continuation page and have also identified below and on any attached continuation page any foreign application for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America having a filing date before that of the application(s) on which priority is claimed.

Prior foreign/PCT application(s):

(number)	(country)	(day/month/year filed)	Priority Claimed	
			Yes	No
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or § 365(c) of PCT international application(s) designating the United States of America listed below and on any attached continuation page and, insofar as the subject matter of each of the claims of this application is not disclosed in any such prior application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which became available between the filing date of such prior application and the national or PCT international filing date of this application:

08/705,893  
(application serial no.)

August 28, 1996  
(filing date)

patented  
(status - pending, patented or abandoned)

(application serial no.)

(filing date)

(status - pending, patented or abandoned)

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below:

(provisional application no.)

(filing date)

(provisional application no.)

(filing date)

(provisional application no.)

(filing date)

I hereby appoint the following Registered Practitioners to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

David V. Trask, Reg. No. 22,012  
Laurence B. Bond, Reg. No. 30,549  
Allen C. Turner, Reg. No. 33,041  
Robert G. Winkle, Reg. No. 37,474

William S. Britt, Reg. No. 20,969  
Joseph A. Walkowski, Reg. No. 28,765  
Kent S. Burningham, Reg. No. 30,453  
Brick G. Power, Reg. No. 38,581

Thomas J. Rossa, Reg. No. 26,799  
James R. Duzan, Reg. No. 28,393  
Julie K. Morris, Reg. No. 33,263  
Kenneth C. Booth, Reg. No. 42,342

Address all correspondence to:

Allen C. Turner, telephone no. (801) 532-1922.  
**TRASK, BRITT & ROSSA**  
**P.O. BOX 2550**  
**Salt Lake City, Utah 84110**

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of first joint inventor: W. Monty Reichert

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence: Durham, North Carolina

Citizenship: USA

Post Office Address: 1500 Edgevale Road, Durham, North Carolina 27701

**DECLARATION FOR PATENT APPLICATION**  
(continuation page)

Invention title: COMPOSITE WAVEGUIDE FOR SOLID PHASE BINDING ASSAYS

Inventor name(s) appearing on first declaration page: W. Monty Reichert

☒ Additional original, first and joint inventor(s):

Full name of second joint inventor: James N. Herron

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence: Salt Lake City, Utah

Citizenship: USA

Post Office Address: 2965 S. Plateau Drive, Salt Lake City, Utah 84109

Full name of third joint inventor: Douglas A. Christensen

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence: Salt Lake City, Utah

Citizenship: USA

Post Office Address: 8520 Top of the World Circle, Salt Lake City, Utah 84121

Full name of fourth joint inventor: Hsu-Kun Wang

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence: Salt Lake City, Utah

Citizenship: People's Republic of China

Post Office Address: 350 E. 700 S., #K309, Salt Lake City, Utah 84111

Full name of fifth joint inventor: Jacob D. Durtschi

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence: Salt Lake City, Utah

Citizenship: U.S.A.

Post Office Address: 1503 University Village, Salt Lake City, Utah 84108

SECRET